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(54) Title: A RANK-BASED SCORE NORMALIZATION FRAMEWORK AND METHODS FOR IMPLEMENTING SAME

RBSN: Partition the scores for a given probe in a rank-based manner and normalize each resulting subset independently.

	Biometric Samples	Probe	Rank
Gallery	X_1	$S_{X1}=0.7$	2
	X_2	$S_{X2}=0.8$	1
	X_3	$S_{X3}=0.6$	3
	Y_1	$S_{Y1}=0.4$	1
	Y_2	$S_{Y2}=0.3$	2
	Z_1	$S_{Z1}=0.2$	2
	Z_2	$S_{Z2}=0.1$	3
	Z_3	$S_{Z3}=0.7$	1

1. Compute similarity scores: S_{wi}
2. Compute the ranks for each gallery
3. Create the rank-based subsets: $C_r = \{i^{th} \text{ ranked scores}\}$
4. Normalize each subset C_r independently

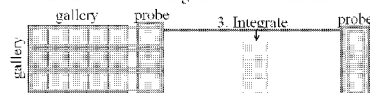
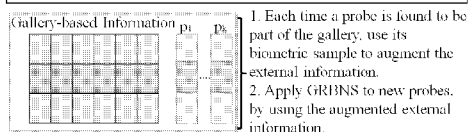
$$C_1 = \{S_{Y2}, S_{Y1}, S_{Z3}\} = \{0.8, 0.4, 0.7\}$$

$$C_2 = \{S_{Y1}, S_{Y2}, S_{Z1}\} = \{0.7, 0.3, 0.2\}$$

$$C_3 = \{S_{Y3}, S_{Z2}\} = \{0.6, 0.1\}$$

GRBSN: Exploit gallery-based information to normalize scores using two sources of information.

1. Normalize each row using RBSN
2. Normalize column using RBSN

**ORBSN:** Update the information used for score normalization in an online fashion, when more than one probes are available.**FIG. 1A**

(57) Abstract: A rank-based score normalization framework that partitions matching scores into subsets and normalize each subset independently. Methods include implementing two versions of the framework: (i) using gallery-based information (i.e., gallery versus galleriescores), and (ii) updating available information in an online fashion. The methods improve the detection and identification rate from 20:90% up to 35:77% for Z-score and from 25:47% up to 30:29% for W-score.

PCT SPECIFICATION

TITLE: A RANK-BASED SCORE NORMALIZATION FRAMEWORK AND METHODS FOR IMPLEMENTING SAME

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ASSIGNEE: THE UNIVERSITY OF HOUSTON SYSTEM

RELATED APPLICATIONS

[0001] This application claims priority to and the benefit of United States Provisional Patent Application Serial Nos. 61/790,965, filed 03/15/2013 (15 March 2013) and 61/858,192 filed 07/25/2013 (25 July 2013).

BACKGROUND OF THE INVENTION

1. Field of the Invention

[0002] Embodiments of this invention relate to a rank-based score normalization framework that partitions matching scores into subsets and normalizes each subset independently. Embodiments of the methods include implementing two versions of a framework: (i) using gallery-based information (*i.e.*, gallery versus galleryscores), and (ii) updating available information in an online fashion. The methods improve the detection and identification rate from 20:90% up to 35:77% for Z-score and from 25:47% up to 30:29% for W-score.

2. Description of the Related Art

[0003] The Open-set Identification task for unimodal systems are two step process: (i) determine whether a probe is part of the gallery, and if it is (ii) return the corresponding identity. The most common approach is to select the maximum matching score for a given probe and compare it against a given threshold. In other words, we match a probe against the gallery sample that appears to be the most similar to it. As a result, the Open-set Identification problem may be considered to be a hard Verification problem. A more detailed discussion about this point of view may be found in Fortuna et al.⁶. This is not the only reason why the Open-set Identification task is a hard problem. Each time that a subject submits its biometric sample to the system, there are a number of variations that may occur. For example, differences in pose, illumination and other conditions during data acquisition may occur. Consequently, each time that a different probe is compared against the gallery the matching scores obtained follow a different distribution. One of the most efficient ways to address this problem is score normalization. Such techniques map scores to a common domain where they are directly comparable. As a result, a global threshold may be found and adjusted to the desired value. Score normalization techniques are also very useful when combining scores in multimodal systems. Specifically, different classifiers from different modalities produce heterogeneous scores.

Normalizing these scores before combining them is thus crucial for the performance of the system⁹. [0004] Thus, there is a need in the art for new normalization systems that exploit the available information more effectively.

SUMMARY OF THE INVENTION

[0005] Embodiments of this invention provide systems different ways to normalize scores. The first embodiment of the system partitions matching scores into subsets and normalizes each subset individually. The second embodiment uses gallery-based information (*i.e.*, gallery versus gallery scores). The third embodiment updates available information in an online fashion. The theory of Stochastic Dominance illustrates that the frameworks of this invention may increase the system's performance. Some important advantages of this invention include: (i) the first two embodiments do not require tuning of any parameters, (ii) the systems may be used in conjunction with any score normalization technique and any integration rule, and (iii) the systems extends the use of W-score normalization in multi-sample galleries. The present invention is applicable to any problem that may be formulated as an Open-set Identification task or a Verification task. In a multimodal system with single-sample galleries, a set of scores is obtained from each modality. Each such set includes of a single sample per gallery subject, and since they are obtained by different classifiers, they are heterogeneous. In order to increase the system's performance, a score normalization step that maps the scores into a common domain is needed before they are combined. An aspect of this invention extends this methodology to unimodal systems within multi-sample galleries. The scores for the subsets were generated by unimodal systems, while the subsets themselves were obtained from our methodology as shown in **Figures 1A&B** and **Figure 2** and they include by construction at most one sample per gallery subject, and are also ordered (by invocation to the Stochastic Dominance Theory). Using exactly the same arguments made in previous works for the multimodal case, it is clear that our invention (see **Figure 5**) yields increased performance. Even though this application is not focusing on multimodal systems, the results presented may be very useful in understanding the intuition behind the present approach.

[0006] Moreover, the gallery-based information may be used to normalize scores in a Gallery-specific manner (see **Figures 3-4**). The obtained scores may then be combined with the Probe-specific normalized scores, as combination rules are applicable anytime evidence from multiple measurements is available. In a similar way, the gallery-based information may be enhanced in an online fashion (see **Figures 3-4**) by: (i) adding the corresponding similarities score to the gallery versus gallery similarity matrix, and/or (ii) augmenting the gallery set. Since not all probes are suitable for this, a decision has to be reached each time based on whether the system is confident about the estimated identity and the new probe adds important information.

[0007] This invention is suitable for any problem/application that may be formulated as an Open-set Identification task or Verification task. Although the framework of this invention was designed to improve the performance of the current score normalization techniques, the framework will also work equally well with such techniques yet to be invented. In addition, in score normalization for multimodal biometric systems, it is assumed that scores are heterogeneous only between each modality. This invention shows that something like this is not true. Therefore, the invention may be adapted to the case of multimodal systems. Specifically, the scores produced by different modalities may be concatenated, as if they were produced by a unimodal system with multiple samples per gallery. In certain embodiment, a scaling or pre-processing step may be applied prior to concatenation. Then, the invention may be applied as usual. In summary, any application or problem that computes similarity scores (or distances) may be benefitted by this invention.

[0008] Biometric systems make use of score normalization techniques and fusion rules to improve the recognition performance. The large amount of research on multimodal systems raises an important question: can we extract additional information from unimodal systems? In this application, we present a rank-based score normalization framework that addresses this problem. Specifically, our approach consists of three computer procedure or algorithm that: (i) partition the matching scores into subsets and normalize each subset independently when multiple samples per subject are available, (ii) exploit gallery-based information (*i.e.*, gallery versus gallery scores), and (iii) augment the gallery in an online fashion. We invoke the Stochastic Dominance theory along with results of prior research to demonstrate that our approach can yield increased performance. Our framework: (i) can be used in conjunction with any score normalization technique and any fusion rule, (ii) is suitable for both Verification and Open-set Identification tasks, (iii) may be employed to single sample galleries under an online setting, (v) can be implemented using parallel programming, and (v) extends the use of W-score normalization to multi-sample galleries. We use the **UHDB11** and **FRGC v2** Face databases to assess the performance of our framework. Specifically, the statistical hypothesis testing performed illustrate that the performance of our framework improves as we increase the number of samples per subject. Furthermore, it yields increased discriminability within the scores of each probe. Besides the benefits and limitations highlighted by our experimental evaluation, results under optimal and pessimal conditions are presented as well to provide better insights.

BRIEF DESCRIPTION OF THE DRAWINGS

[0009] The invention can be better understood with reference to the following detailed description together with the appended illustrative drawings in which like elements are numbered the same:

[0010] **Figure 1A** depicts an overview of an embodiment of the framework of this invention. The framework includes identifying subsets represented by letters (*e.g.*, *X*, *Y* and *Z*). The subscript of each

letter denotes the index number of the corresponding biometric sample. The similarity scores are designated by the letter S , where the subscript denotes the identity and biometric sample, respectively. The *Rank* denotes the rank of each score S in relation to other scores with the *same identity*.

[0011] **Figure 1B** depicts a second overview of an embodiment of the framework of this invention.

[0012] **Figure 2** depicts each curve depicts the kernel density estimate corresponding to a C_r subset. Each subset C_r was constructed by the **Step 1** of **RBSN**, using the set S^p from a random probe.

[0013] **Figure 3** depicts an osi-ROC curve illustrating the performance of different approaches for an Open-set Identification task on the BDCP database.

[0014] **Figure 4** depicts a vr-ROC curve illustrating the performance of different approaches for a Verification task on the BDCP database.

[0015] **Figure 5** depicts boxplots for: (i) Raw Scores, (ii) Z-score, (iii) **RBSN**:Z-score, and (iv) **RBSN**:W-score when 1, 3 and 5 samples per gallery subject are randomly selected.

[0016] **Figure 6** depicts a system for implementing the framework of this invention.

[0017] **Figure 7** depicts an overview of the present framework (color figure). The notation $SX1$ is used to denote the score obtained by comparing a given probe against the biometric sample indexed by 1 of the gallery subject labeled as X .

[0018] **Figure 8** depicts each curve depicts the probability density estimate corresponding to a C_r subset; each subset C_r was constructed by **Step 1** of **RBSN** using the set S^p for a random probe p .

[0019] **Figure 9** depicts the ROC curves of the **Experiment II.1** for **UHDB11** when the sum rule is used for: (i) Raw Scores, (ii) Z-score, (iii) **RBSN**:Z-score, (iv) W-score, (v) MAD, and (vi) **RBSN**:MAD.

[0020] **Figure 10** depicts the boxplots for: (i) Raw Scores, (ii) Zscore and (iii) **RBSN**:Z-score, when one, three and five samples per gallery subject are randomly selected from **UHDB11**.

[0021] **Figure 11** depicts the osi-ROC curves of the Experiment 3 for **UHDB11** when the sum rule is used for: (i) Raw Scores, (ii) **GRBSN**:Z-score_p, (iii) **GRBSN**:Z-score_b, (iv) **GRBSN**: Z - score_x, (v) **GRBSN**: Z - score_{f₃}, and (vi) **GRBSN**:Z-score_o.

[0022] **Figure 12** depicts was constructed by the **Step 1** of **RBSN** using the set S^p for a random probe under the optimal scenario defined in **Experiment II.4**, *i.e.*, the gallery set consists of 3,073 biometric samples labeled using the ground truth – only the first 10 ranks are depicted for illustrative reasons.

[0023] **Figure 13** depicts a schematic operation of a procedure of **ORBSN** in applying a probe to a gallery and if the probe data meets certain criteria, then the probe and gallery may be concatenated to form an expanded gallery.

[0024] **Figure 14** depicts a schematic operation of combining different probes to form a concatenated

probe, which may then be used in the **RBSN**, **GRBSN** and/or **ORBSN** procedures of this invention.

[0025] **Figure 15** depicts an embodiment of a method of this invention utilizing probe specific data.

[0026] **Figure 16** depicts an embodiment of a method of this invention utilizing gallery specific data.

[0027] **Figure 17A-C** depicts an embodiment of a method of this invention utilizing probe specific and gallery specific data.

[0028] **Figure 18** depicts another embodiment of a method of this invention utilizing probe specific and gallery specific data.

DEFINITIONS USED IN THE INVENTION

[0029] =The term "fusing" means to combine or integrate information from multiple sources.

DETAILED DESCRIPTION OF THE INVENTION

[0030] The inventors have found that a new rank-based score normalization framework for normalizing scores, where the framework partitions matching scores into subsets and normalize each subset independently. Methods include implementing two versions of the framework: (i) using gallery-based information (*i.e.*, gallery versus gallery scores), and (ii) updating available information in an online fashion. The methods improve the detection and identification rate from 20:90% up to 35:77% for Z-score and from 25:47% up to 30:29% for W-score.

[0031] Embodiments of this invention relate broadly to methods for processing measures comprising the steps of obtaining a test sample, obtaining a set of indexed samples, and comparing the test sample to each, some, or all of the indexed samples to produce first measures. The methods also include computing first ranks for the first measures within each index, forming first subsets of all or any combination of current measures, where each first subset includes current measures of the same first rank, where the current measures for this step comprise the first measures, processing the current measures within each first subset that satisfy one condition or a plurality of conditions to form processed current measures, where the processing comprises one transformation or a plurality of transformations of the current measures, and outputting the current measures and the processed current measures.

[0032] In certain embodiments, the methods also include the steps of prior to the forming step, pre-processing the first measures to form first pre-processed measures, where the pre-processing comprises one transformation or a plurality of transformations of the first measures, fusing none, some, or all of the first measures, the first pre-processed measures, and/or the measures within each set to form first fused measures, performing the remaining steps of claim 1 using none, some, all, or sets of the current measures independently, where the current measures comprise the first measures, the first pre-processed measures, the first fused measures, or any combination thereof, and fusing none, some or all of the first measures, the first pre-processed measures, the first fused measures, the

processed current measures, and the current measures to form second fused measures.

[0033] In other embodiments, the methods also include the steps of prior to the forming step, comparing the indexed samples to each other to produce second measures identified by each pair of indexed samples compared, assigning a second index to the first measures, creating a set for each indexed sample, where each set includes the first measure and the second measures for that indexed sample, computing second ranks for each measure within each of the sets based on the second index of the first measure and the second index of the second measures, where the second index of the second measures corresponds to the index of the samples used to produce the second measures of that set, forming second subsets for each set, where each subset includes second current measures of the same second rank, where the second current measures comprise the first measures and the second measures, and processing the measures within each second subset that satisfy one condition or a plurality of conditions to form second processed measures, where the processing comprises a one or a plurality of transformation of the measures, and performing the remaining steps of claim 1, using none, some, all, or sets of the current measures independently, where the current measures comprise the first measures, the second measures, the second processed measures, or any combination thereof.

[0034] In other embodiments, the methods also include the steps of prior to the forming step of claim 3, pre-processing the first measures to form first pre-processed measures, where the pre-processing comprises one transformation or a plurality of transformations of the first measures, pre-processing the second measures to form second pre-processed measures, where the pre-processing comprises one transformation or a plurality of transformations of the second measures, fusing (a) none, some, or all of the first measures and the first pre-processed measures to form first fused measures, (b) none, some, or all of the second measures and the second pre-processed measures to form second fused measures, or (c) none, some, or all of the first measures, the first pre-processed measures, the second measures and the second pre-processed measures to form mixed fused measures, performing the remaining steps of claim 3, using none, some, all, or sets of the current measures independently, where the second current measures comprise the first measures, the first pre-processed measures, the first fused measures, the second measures, the second pre-processed measures, the second fused measures, or any combination thereof, and fusing none, some or all of the first measures, the first pre-processed measures, the first fused measures, the second measures, the second pre-processed measures, the second fused measures, and the second fused measures to form third fused measures.

[0035] In other embodiments, the methods also include the steps of ignoring the second measures that compare the same sample within the indexed samples, or replacing the second measures that compare the same sample within the indexed samples with a new value.

[0036] In other embodiments, the methods also include the steps of assigning a new second index to

the first measures, and retaining none, some, or all of the first measures as second measures of the formed sets if one condition or a plurality of conditions are satisfied.

[0037] In other embodiments, the methods also include the steps of assigning an index to the test sample, and incorporating the indexed test sample to the set of indexed samples before or after implementing the steps of claim 3, if one condition or a plurality of conditions are satisfied.

[0038] Embodiments of this invention relate broadly to methods for processing measures comprising the steps of obtaining a multi-modal test sample, where the test multi-modal sample comprises test sample data from multiple sources, obtaining multi-modal indexed samples, and comparing the multi-modal test sample to each, some, or all of the multi-modal indexed samples to produce first measures.

[0039] In certain embodiments, the methods also include the steps of computing first ranks for the first measures within each index, forming first subsets of all or any combination of current measures, where each first subset includes current measures of the same first rank, where the current measures for this step comprise the first measures, processing the current measures within each first subset that satisfy one condition or a plurality of conditions to form processed current measures, where the processing comprises one transformation or a plurality of transformations of the current measures, and outputting the current measures and the processed current measures.

[0040] In other embodiments, the methods also include the steps of prior to the forming step, pre-processing the first measures to form first pre-processed measures, where the pre-processing comprises one transformation or a plurality of transformations of the first measures, fusing none, some, or all of the first measures, the first pre-processed measures, and/or the measures within each set to form first fused measures, performing the remaining steps of claim 16 using none, some, all, or sets of the current measures independently, where the current measures comprise the first measures, the first pre-processed measures, the first fused measures, or any combination thereof and fusing none, some or all of the first measures, the first pre-processed measures, the first fused measures, the processed current measures, and/or the measures within each set to form second fused measures.

[0041] In other embodiments, the methods also include the steps of prior to the forming step, comparing the indexed samples to each other to produce second measures identified by each pair of indexed samples compared, assigning a second index to the first measures, creating a set for each indexed sample, where each set includes the first measure and the second measures for that indexed sample, computing second ranks for each measure within each of the sets based on the second index of the first measure and the second index of the second measures, where the second index of the second measures corresponds to the index of the samples used to produce the second measures of that set, forming second subsets for each set, where each subset includes second current measures of the same second rank, where the second current measures comprise the first measures and the second

measures, processing the measures within each second subset that satisfy one condition or a plurality of conditions to form second processed measures, where the processing comprises a one or a plurality of transformation of the measures, and performing the remaining steps of claim 1, where the current measures comprise the first measures, the second measures, the second processed measures, or any combination thereof.

[0042] In other embodiments, the methods also include the steps of prior to the forming step of claim 18, pre-processing the first measures to form first pre-processed measures, where the pre-processing comprises one transformation or a plurality of transformations of the first measures, pre-processing the second measures to form second pre-processed measures, where the pre-processing comprises one transformation or a plurality of transformations of the second measures, fusing (a) none, some, or all of the first measures and the first pre-processed measures to form first fused measures, (b) none, some, or all of the second measures and the second pre-processed measures to form second fused measures, or (c) none, some, or all of the first measures, the first pre-processed measures, the second measures and the second pre-processed measures to form mixed fused measures, performing the remaining steps of claim 18 using none, some, all, or sets of the current measures independently, where the second current measures comprise the first measures, the first pre-processed measures, the first fused measures, the second measures, the second pre-processed measures, the second fused measures, or any combination thereof, and fusing none, some or all of the first measures, the first pre-processed measures, the first fused measures, the second measures, the second pre-processed measures, the second fused measures, and/or the measures within each set to form third fused measures.

[0043] In other embodiments, the methods also include the steps of ignoring the second measures that compare the same sample within the indexed samples, or replacing the second measures that compare the same sample within the indexed samples with a new value.

[0044] In other embodiments, the methods also include the steps of ignoring the second measures that compare the same sample within the indexed samples, or replacing the second measures that compare the same sample within the indexed samples with a new value.

[0045] In other embodiments, the methods also include the steps of assigning a new second index to the first measures, and retaining none, some, or all of the first measures as second measures of the formed sets if one condition or a plurality of conditions are satisfied.

[0046] In other embodiments, the methods also include the steps of assigning an index to the test sample, and incorporating the indexed test sample to the set of indexed samples before or after implementing the steps of claim 18, if one condition or a plurality of conditions are satisfied.

PART I

[0047] For illustration purposes, we consider the following scenarios: (i) the gallery set is comprised of multiple samples per subject from a single modality, and (ii) the gallery is comprised of a single sample per subject from different modalities. We shall refer to the former scenario as unimodal and to the latter as multimodal. We note that the integration of scores in the unimodal scenario is an instance of the more general problem of combining scores in the multimodal scenario¹². To distinguish between the two, we say that we integrate scores for the former, while we combine scores for the latter. We notice that a search in Google Scholar for the last ten years (*i.e.*, 2002-2012) returns 322 papers that include the terms multimodal and biometric in their title, while only eight entries are found for the unimodal case. The question that arises is whether there is space for improvement in the performance of unimodal biometric systems.

[0048] This invention relates broadly to a rank-based score normalization framework that is suitable for unimodal systems, when multi-sample galleries are available. Specifically, the present approach is based on a first process for partitioning set of scores into subsets and then normalizing each subset independently. The normalized scores then may be integrated using any suitable rule. We use the Stochastic Dominance theory to illustrate that our approach imposes the subsets' score distributions to be ordered, as if each subset was obtained by a different modality. Therefore, by normalizing each subset individually, the corresponding distributions are being aligned and the system's performance improves. The present invention is also based on a second process that uses the gallery versus gallery scores to normalize the produced scores for a given probe in a gallery-based manner. The obtained normalized scores are then combined with the scores produced by the first algorithm or computer procedure using any combination rule. Finally, the third algorithm or computer procedure uses scores from already referenced probes to augment the gallery versus gallery similarity scores. Thus, it updates the available information in an online fashion. The framework of this invention: (i) does not require tuning of any parameters, (ii) may be implemented by using any score normalization technique and any integration rule, and (iii) extends the use of W-score normalization in multi-sample galleries. We are not evaluating combination or integration rules, nor are we assessing score normalization techniques. Instead, we focus on the fact that the present approach increases the performance of unimodal biometric systems. The experimental evaluation is performed using the BDCP Face Database¹.

[0049] **Section I.2** reviews score normalization techniques and combination rules. **Section I.3** provides an overview of the Stochastic Dominance theory and describes the present framework. **Section I.4** presents the experimental results. **Section I.5** concludes this part of the application with an overview of our findings.

I.2. RELATED WORK

[0050] In this section, we do not present an extensive overview of the literature because the present framework may be implemented in conjunction with any combination rule and any score normalization technique. Therefore, we refer only to those approaches used in our experiments.

I.2.1. Combination Rules

[0051] Kittler et al.⁹ have studied the statistical background of combination rules. Such rules address the general problem of fusing evidence from multiple measurements. Hence, they are applicable to both integration and combination tasks.¹² We note that the work by Kittler et al.⁹ refers exclusively to likelihood values. These rules however are often applied to scores, even if there is not a clear statistical justification for this case. In this application, we have used the sum rule, which under the assumption of equal priors, is implemented by a simple addition. Even though this rule makes restrictive assumptions, it appears to yield good performance.^{8,9}

I.2.2. Score Normalization Techniques

[0052] Score normalization techniques are used in order to: (i) accommodate for the variations between different biometric samples and, (ii) align score distributions before combining them. A comprehensive study of such approaches is offered by Jain et al.⁸

Z-score

[0053] Due to its simplicity and good performance in many settings, this is one of the most widely used and well examined techniques. Specifically, it is expected to perform well when the location and scale parameters of the score distribution can be sufficiently approximated by the mean and standard deviation estimates, respectively. In addition, for scores following a Gaussian distribution this approach can retain the shape of the distribution. We note that the most notable disadvantages of Z-score normalization are: (i) it cannot guarantee a common numerical range for the normalized scores, and (ii) it is not robust, as the mean and standard deviation estimates are sensitive to outliers.

W-score

[0054] Scheirer et al.¹¹ recently proposed the use of a score normalization technique that models the tail of the non-match scores. The greatest advantage of this approach is that it does not make any assumptions concerning the score distribution. It also appears to be robust and yields good performance. In order to apply W-score normalization, the user has to specify the number of scores to be selected for fitting. While in most cases it is sufficient to select as few as five scores, we have found that selecting a small number of scores in most cases yields discretized normalized scores. As a result, it is not possible to assess the performance of the system in low false acceptance rates or false alarm rates. On the other hand, selecting too many scores may violate the required assumptions needed to invoke the Extreme Value Theorem. Another limitation of W-score is that it cannot be

applied to multi-sample galleries, unless an integration rule is used first (*e.g.*, sum). Consequently, it is not possible to obtain normalized scores for each sample independently. As it will be shown, the present framework addresses this problem and extends the use of W-score normalization to multi-sample galleries.

I.3. RANK-BASED SCORE NORMALIZATION FRAMEWORK

[0055] In this section, we first review the Stochastic Dominance theory, which covers the theoretical background of the present framework. Then, we describe three computer procedures or algorithms that comprise the Rank-based Score Normalization Framework of this invention. Since each algorithm or computer procedure builds on top of the other, we begin from the most general case and build our way through to the most restricted cases. An overview of the present computer procedure or algorithm is presented in **Figures 1A&B**.

I.3.1. Stochastic Dominance Theory

[0056] In this section, we present basic concepts of the Stochastic Dominance theory, which is used to cover theoretical aspects of the present framework. We note that the theory of Stochastic Dominance falls within the domain of decision theory and, therefore, it is widely used in finance¹⁴.

Definition

[0057] The notation $X \succeq_{FSD} Y$ denotes that X first order stochastically dominates Y , if

$$Pr \{X > z\} \geq Pr \{Y > z\} \quad z \quad (1)$$

As it is implicitly shown by this definition, the corresponding distributions will be ordered. This fact becomes more clear by the following lemma.

Lemma:

[0058] Let X and Y be any two random variables, then

$$X \succeq_{FSD} Y \Rightarrow E[X] \geq E[Y] \quad (2)$$

A proof of this Lemma may be found in Wolfstetter¹⁴.

[0059] An illustrative example of first order stochastic dominance is depicted figures 1A&B of Wolfstetter[14], where $\bar{F}(z) \geq \bar{G}(z)$. We note that the first order stochastic dominance relationship implies all higher orders see Durlauf et al.⁵ In addition, this relation is known to be transitive as implicitly illustrated in Birnbaum et al.³ Finally, we bring to the reader's attention that the first order stochastic dominance may also be viewed as the stochastic ordering of random variables.

I.3.2. Rank-Based Score Normalization

[0060] In this section, we propose a Rank-based Score Normalization (**RBSN**) that partitions a set of scores into subsets and then normalizes each subset independently. We assume that the gallery includes multiple samples per subject. An overview is provided in **Algorithm I.1** below. The

notation to be used herein is as follows:

S^p :	the set of similarity scores for a given probe p , when compared against a given gallery set
S_i^p :	the set of scores that correspond to the gallery subject with $identity=i$, $S_i^p \subseteq S^p$
$S_{i,r}^p$:	the r^{th} ranked score of S_i^p
$S^{p,N}$:	the set of normalized scores for the given probe p
C_r :	the r^{th} rank subset, $\bigcup_r C_r = S^p$
$ d $:	the cardinality of any given set d
I :	the set of unique gallery identities
f :	a given score normalization technique

Algorithm I.1 Rank-based Score Normalization

```

1:  procedure  $RBSN(S^p = \bigcup_i S_i^p, f)$ 
   Step 1: Partition  $S^p$  into subsets
2:     $C_r = \{\emptyset\}, \forall r$ 
3:    for  $r = 1 : \max_i \{|S_i^p|\}$  do
4:      for all  $i \in I$  do
5:         $C_r = C_r \cup S_{i,r}^p$ 
6:      end for
7:    end for                                 $\triangleright (i.e., C_r = \bigcup_i S_{i,r}^p)$ 
   Step 2: Normalize each subset  $C_r$ 
8:     $S^{p,N} = \{\emptyset\}$ 
9:    for  $r = 1 : \max_i \{|S_i^p|\}$  do
10:      $S^{p,N} = S^{p,N} \cup f(C_r)$ 
11:   end for
12:   return  $S^{p,N}$ 
13: end procedure

```

Step 1 - Partition S^p into subsets:

[0061] The main goal is to partition the set of scores S^p into subsets C_r . The term S_i^p denotes the set of scores that correspond to the gallery subject with $identity=i$. Each subset C_r is formed by selecting the r^{th} highest score from every set S_i^p . This procedure is repeated, until all scores in S^p have been assigned to a subset C_r . Each curve in **Figure 2** depicts the kernel density estimate that corresponds to a subset C_r obtained from **Step 1** of RBSN.

[0062] We now show that the ordering of the densities in **Figure 2** is imposed by the rank-based construction of the sub-sets C_r . By construction we have that

$$S_{x,i}^p \geq S_{y,j}^p, \forall i \leq j \text{ and } \forall x$$

Let X_i and X_j be the variables that correspond to $S_{x,i}^p$ and $S_{y,j}^p$ (i.e., C_i and C_j). As shown in Hadar and Russell⁸, this condition is sufficient to conclude that $X_i \succeq_{\text{FSD}} X_j$. Given the relevant results from

Section I.2.3, it is clear that the densities P_{X_i} and P_{X_j} are ordered if $i \neq j$.

Step 2 - Normalize each subset C_r :

[0063] The set $S^{p,N}$ is initially an empty set which is gradually updated by adding normalized scores

to it. Specifically, the scores for a given subset C_r are normalized independently of the other subsets and then added to $S^{p,N}$. We iterate until the scores of all the subsets C_r have been normalized and added to $S^{p,N}$.

I.3.2.1 Key Remarks and Implementation Details

[0064] We now explain why the obtained set $S^{p,N}$ yields increased performance compared to other approaches. Under the multimodal setting, a set of scores is obtained from each modality. Each such set consists of a single sample per gallery subject, and since they are obtained by different classifiers they are heterogenous. In order to increase the systems' performance, a score normalization step that maps the scores into a common domain is needed before they are combined^{8,12}. The obtained subsets from **Step 1** include by construction at most one sample per gallery subject and they are also ordered. Using exactly the same arguments made in previous works for the multimodal case, it is clear that our approach yields increased performance. After all, since we do not normalize scores from different modalities together, there is no good reason to do so under the unimodal scenario. One important limitation though is that we cannot make any inferences concerning the score distributions of the subsets C_r . Even if the set of scores for a given probe is known to follow a certain distribution, the resulting subsets might follow a different, unknown distribution. Despite this, our experiments indicate that RBSN yields increased performance in practice. In addition, the use of W-score normalization which does not make any assumptions concerning the scores' distribution is now feasible, as the constructed subsets include at most one score per subject.

[0065] Next, we provide a brief discussion concerning some implementation details. First, we note that ties may be broken arbitrarily as they do not affect the final outcome. Moreover, ranking the scores for each gallery subject can be implemented in parallel. The same applies for the normalization of each subset C_r . Hence, our framework is quite scalable. Finally, we note that gallery sets with different number of samples per subject result in subsets with different number of elements (see **Figures 1A&B** for such an example). Consequently, it is possible to obtain a subset which is too small to be used for score normalization. This is likely to happen for low rank subsets. In such cases, we may substitute or estimate these scores in many ways (*e.g.*, use the corresponding normalized score we would obtain if RBSN was not used). For the purposes of this invention, we replace such scores with Not a Number (*NaN*) and we do not consider them at a decision level.

I.3.3. Rank-based Score Normalization Framework aided by Gallery-based Information

[0066] In this section, we present the Rank-based Score Normalization Framework aided by Gallery-based Information (**GRBSN**) that exploits additional information to improve the performance even further. Specifically, we compare the gallery against itself and we organize the produced scores using a symmetric matrix G . Each element $g_{i,j}$ corresponds to the similarity score obtained by comparing

the i^{th} and j^{th} samples of the gallery. We summarize the present approach in **Algorithm I.2** below.

The additional notation to be used is as follows:

- G : the *gallery versus gallery* similarity matrix, $G_{[n \times n]}$
- $g_{i,j}$: the similarity score obtained by comparing the i^{th} and the j^{th} elements of the gallery,
 $g_{i,j} \in G$
- n : the number of columns of G
- $S^{p,N}$: the set of normalized scores S^p
- h : an integration rule

[0067] Note that there is a correspondence between G and S^p . That is, the i^{th} row/column of G refers to the same gallery sample as the i^{th} score of S^p .

Step 1 - Augment G :

[0068] One more column is added to the matrix $G_{[n \times n]}$ that is comprised of the scores in $S_{[n \times 1]}^p$

Step 2 - Normalize the Augmented G :

[0069] Each row of the augmented matrix G is treated independently and normalized using **RBSN**. The probe p is unlabeled and thus the last score of each row of G is not associated with any identity.

Algorithm I.2 Rank-based Score Normalization aided by Gallery-based Information

```

1:  procedure GRBSN( $G, S^p = \bigcup_i \{S_i^p\}, f, h$ )
    Step 1: Augment  $G$ 
2:       $\{g_{:,n+1}\} = S^p$   $\triangleright n \rightarrow n + 1$ 
    Step 2: Normalize the Augmented  $G$ 
3:       $w = h(RBSN(S^p; f))$ 
4:      Associate the  $n^{th}$  column of  $G$  with the gallery identity
        that corresponds to the Rank - 1 score of  $w$ 
5:      for  $i = 1 : |g_{:,1}|$  do
6:           $\{g_{i,:}\} = RBSN(g_{i,:}, f)$ 
7:      end for
    Step 3: Compute  $S^{p,N}$ 
8:       $S^{p,N} = h(RBSN(S^p; f), g_{:,n})$ 
9:      return  $S^{p,N}$ 
10: end procedure

```

[0070] To address this problem, the $RBSN(S^p; f)$ is computed and an integration rule h is applied. The gallery identity that is associated with the resulting *Rank - 1* score is used to label the scores of the last column of the augmented matrix G . Normalizing each row of G using **RBSN** is now feasible and the row-wise normalized matrix G is obtained. In practice, each time that we apply **RBSN** we only need to normalize the C_r that corresponds to the score of the last column of G . In addition, the normalization of each row of G can be implemented in parallel.

Step 3 - Compute $S^{p,N}$:

[0071] The last column of the augmented matrix G contains the *Gallery-Specific* normalized scores that correspond to the probe p . The $RBSN(S^p, f)$ corresponds to the *Probe-Specific* normalized scores

for the same probe p . Consequently, the two vectors are combined using the relevant rule h .

[0072] In this approach, each score of S^p is normalized in relation to: (i) scores in S^p , and (ii) scores contained in each row of G (see **Figures 1A&B**). Thus, we obtain both *Probe*-specific and *Gallery*-specific normalized scores, using each time two different sources of information. Since the same rules are suitable when combining evidence for multiple measurements in general¹², combining the two vectors is reasonable and results in increased performance.

I.3.4. Online Rank-based Score Normalization Framework

[0073] In this section, we build upon the **GRBSN** procedure and present an online version of the present framework (**ORBSN**). This version uses information from probes that have been submitted to the system in the past in order to enhance the available information. We provide an overview of the Online Rank-based Score Normalization Framework in **Algorithm I.3** below. As in the previous section, we use information from the gallery versus gallery scores. The additional notation to be used is as follows:

- P : the set of probes presented to the system
- S : the set of scores for all probes, $\bigcup_p S^p = S$
- S^N : the set of normalized scores S
- t : the threshold used to reach a decision

Algorithm I.3 Online Rank-based Score Normalization

```

1:  procedure ORBSN( $G, S = \bigcup_p \{S^p\}, f, h, t$ )
2:      for all  $p = 1 : |P|$  do
3:          Step 1: GRBSN
4:           $S^{p:N} = \text{GRBSN}(G; S^p; f, h)$ 
5:          Step 2: Augment G
6:           $w = h(S^{p:N})$ 
7:          if  $\max(w) \geq t$  then
8:               $\{g_{:,n+1}\} = S^p$  ▷  $n \rightarrow n + 1$ 
9:          end if
10:      end for
11:      return [ $S^N = \bigcup_p \{S^{p:N}\}; G$ ]
12:  end procedure

```

Step 1 - GRBSN:

[0074] In this step, GRBSN is applied using the corresponding inputs.

Step 2 - Augment G:

[0075] If the system is confident that the probe is part of the gallery the input matrix G is augmented. Specifically, if the *Rank-1* score of the $h(S^{p:N})$ is above a given threshold t a new column is added to G comprised of the raw scores in S^p . In other words, this probe becomes part of the matrix G and it will be used when the next probe is submitted to the system. Note that the matrix G contains raw

scores at all times and it is only normalized implicitly when **GRBSN** is invoked.

[0076] The intuition of **ORBSN** is very similar with the idea presented in the section **I.3.3**. That is, we use *Gallery*-specific score normalization to increase the performance. When the system is confident about the identity of an unknown probe, it incorporates its scores to the gallery-based information (*i.e.*, matrix G). This way, the available information is enhanced in an online fashion in order to improve the performance even further. However, we note that the performance of both **GRBSN** and **ORBSN** is sensitive to the identity estimation of each submitted and/or referenced probe.

I.4. EXPERIMENTAL RESULTS

[0077] In this section, we provide information about: (i) the database used, (ii) implementation details, (iii) evaluation measures, and finally (iv) experimental results.

The BDCP Database:

[0078] The BDCP Face database consists of data from 100 subjects¹. The gallery set is formed by 95 subjects for which 381 3D images have been captured using the Minolta VIVID 900/910 sensor. The number of samples per gallery subject varies from 1 to 6. The probe set is comprised of data from all 100 subjects. Specifically, 2,357 2D images are used which have been captured by four different cameras: (i) Nikon D90, (ii) Canon Powershot Elph SD1400, (iii) Olympus FE-47, and (iv) Panasonic Lumix FP1. The composition of the probe set is: (i) 876 Far Non-Frontal, (ii) 880 Far Frontal, (iii) 305 Near Non-Frontal, and (iv) 296 Near Frontal Faces. The scores used in this application are available from Todericiof¹³.

Implementation Details:

[0079] As mentioned before, it is not possible to use W-score normalization directly to multi-sample galleries. Consequently, when reporting results for W-score, it is implied that the scores have been integrated before they are normalized. We note that: (i) five scores are used to fit a Weibull distribution, and (ii) the sum rule is used whenever it is needed to combine scores. Therefore, we use the notation **RBSN:Z-score** to indicate that *Z-score* normalization has been used as an input to **Algorithm I.1** and the resulting normalized scores have been integrated using the sum rule. As mentioned, normalizing sets with small number of elements is usually problematic. Therefore, we do not normalize subsets C_r that include less than six scores; instead, we replace these values by *NaN*. We do the same for subsets that have a standard deviation less than 10^{-5} , because in such cases *Z-score* becomes unstable. Finally, in order to assess the performance of **ORBSN**, we have followed a Leave-One-Out approach. Each time we assume that $|P| - 1$ probes have been submitted to the system and a decision has to be made for the remaining one. The system uses a threshold to select a subset of the $|P| - 1$ probes for which it is confident concerning the estimated identity. Then, the

corresponding scores are incorporated to G and **ORBSN** is implemented as in **Algorithm I.3**. In our implementation, the system used the gallery versus gallery scores to select a threshold that results in a False Alarm Rate of 10^{-3} . The reasoning behind this decision is that, even if only a few probes will be selected to update the matrix G , the corresponding information will be reliable. In other words, we prefer selecting a small number of probes that add information of a good quality, rather than selecting many probes that induce noise.

Performance Measures:

[0080] We used the osi-ROC that compares the Detection and Identification Rate (DIR) against the False Alarm Rate (FAR) to provide an overview of the system's performance for the Open-set Identification task². For the same task, we also used the Open-set Identification Error (OSI-E). That is the rate at which the max score for a probe corresponds to the wrong identity given that the subject depicted in the probe is part of the gallery⁶. Specifically, the OSI-E is inversely proportional to the percentage of correct classifications based on the rank-1 scores for probes in the gallery, a metric that is usually reported for the closed-set identification task. Moreover, we used the ROC that compares Verification Rate (VR) against the False Acceptance Rate (FAR) to assess the discriminability of the scores. Note that different methods result in FARs with different ranges and hence we cannot compare directly quantities such as Area Under the Curve (AUC) and max-DIR. Therefore, we select a common FAR range by setting the universal lower and upper bound to be equal to the *infimum* and *supremum*, respectively. Finally, we denote ΔAUC the relative improvement of the raw scores performance (e.g., $\Delta AUC = (AUC_{RBSN} - AUC_{raw})/AUC_{raw}$).

EXPERIMENT I.1

[0081] The objective of the this experiment is to assess the performance of the present framework under the Open-set Identification task. Specifically, each of the 2,357 probes is compared against the gallery to obtain the corresponding similarity scores. Based on **Figure 3** and **Table I.1**, it appears that the present framework improves the overall DIR performance. Note that the performance in most of the evaluation measures gradually improved when **RBSN**, **GRBSN**, and **ORBSN** were used.

TABLE I.1
Summary of the results from the Experiments I.1 & I.2

BDCP Database	Open-set Identification			Verification
Methodology	OSI-E (%)	max-DIR (%)	osi-ΔAUC	vr-ΔAUC
Z-score	70.93	20.90	15.15	0.11
RBSN:Z-score	68.88	22.03	16.87	0.19
GRBSN:Z-score	66.06	23.73	17.27	0.17
ORBSN:Z-score	60.54	35.77	21.83	0.18

Methodology	OSI-E (%)	max-DIR (%)	osi- Δ AUC	vr- Δ AUC
W-score	74.53	25.47	0.01	0.10
RBSN:W-score	74.88	25.12	-0.02	0.11
GRBSN:W-score	72.01	27.99	0.08	0.12
ORBSN:W-score	69.71	30.29	0.12	0.13

The OSI-E and max-DIR refer to absolute values, where for the latter the maximum performance is reported. The osi- Δ AUC and vr- Δ AUC refer to the relative improvement of the raw scores performance. The relative experimental protocol is described in **Section I.4**.

[0082] In addition, we note that most of the score normalization approaches are linear transformations. Hence, they cannot change the order of scores for a given probe. In other words, they cannot effect the OSI-E⁶. However, the present framework appears to significantly reduce the OSI-E (see **Table I.1**). This is attributed to the fact that it normalizes each subset C_r independently and the final ordering of the scores is thus changed. In order to investigate this fact even further, we used statistical hypothesis tests to show that the discriminability of the scores for a given probe increases when our framework was used. Specifically, for each probe we computed the ROC curves and the corresponding AUCs. We used these AUC values to perform a non-parametric Wilcoxon Signed-Rank test in order to determine whether the relative median values are equal (*i.e.*, null hypothesis) or the present framework performs better (*i.e.*, one sided alternative hypothesis). The Bonferonni correction was used in order to ensure that the overall statistical significance level (*i.e.*, $\alpha = 5\%$) is not overestimated due to multiple tests performed. That is, the statistical significance of each individual test is set to α/m , where m is the number of tests performed. The corresponding p-values are: (i) Z-score vs. Raw Scores: 1, (ii) **RBSN**:Z-score vs. Z-score: 9.5×10^{-92} , and (iii) **RBSN**:W-score vs. Raw Scores: 0.0025. The test W-score vs. Raw Scores cannot be performed due to the fact that W-score is not applicable to multi-sample galleries. According to these results, we conclude that the discriminability of scores for each probe increases significantly when the present framework was used (*i.e.*, the null hypothesis was rejected). However, this is not the case for Z-score, which yields identical AUC values to the raw scores.

EXPERIMENT I.2

[0083] In objectives of this experiment are to illustrate: (i) the use of the present framework for a Verification task, and (ii) the increased discriminability that it yields. Specifically, we assume that each probe targets all the gallery samples, one at a time. We further assume that each time this happens the rest of the gallery samples may be used as cohort information. Although the experimental protocol employed is an unlikely scenario, it provides rich information for evaluating the performance of the present framework under a Verification task. Based on the relative experimental results it appears that the present framework improves the verification performance.

The corresponding ROC curves for Z-score are depicted in **Figure 4**. Note that **RBSN** outperforms both **GRBSN** and **ORBSN** when Z-score is used. We identify this cause to be the poor identity estimates that the corresponding computer procedure or algorithm use. Specifically, we observed that **ORBSN** appears to be more robust, even though it aggregates the **GRBSN** errors. This is due to two reasons: (i) it uses more information, and (ii) it uses a threshold to filter the information to be used. Consequently, one obvious modification of **Algorithm 1.2** would be to use gallery-based normalization only when the system is confident concerning the estimated identity (*i.e.*, use a threshold). This approach though is not followed in our implementation in an effort to minimize the number of parameters used in each algorithm or computer procedure. An alternative solution would be to normalize the scores in a *Gallery*-based manner without implementing **RBSN**. In this way, it would not be necessary to estimate the probe's identity but on the other hand the quality of the normalized scores obtained would be of a lower quality.

EXPERIMENT 1.3

[0084] The objective of this experiment is to assess the effect that different number of samples per gallery subject has to the performance of **RBSN**. To this end, we randomly selected one, three, and five number of samples per subject and computed the ROC and the corresponding AUCs. This procedure was repeated 100 times and the obtained values are depicted in the corresponding boxplots shown in **Figure 5**. For the statistical evaluation of these results we used the non-parametric Mann-Whitney U test. Specifically, the null hypothesis assumes that the median values are equal when three and five samples were used, while the alternative assumes that the median AUC value was increased when five samples were used. The obtained p-values are: (i) Raw Scores: 0.3511, (ii) Z-score: 0.2182, (iii) **RBSN**:Z-score: 2.1×10^{-33} , and (iv) **RBSN**:W-score: 1.3×10^{-34} . The statistical evidence indicates that an increase in the number of samples per gallery subject results in improved discriminability when the present framework was used. As in **Experiment 1.2**, the Bonferonni correction ensures that the overall statistical significance is $\alpha = 5\%$. Finally, we note that by repeating the same tests for five samples per subject versus one sample per subject the null hypothesis was rejected for all the methods. However, the former set of tests illustrated that an increase in the number of samples per subject results in greater increase of performance when our framework was employed compared to when our framework was not used for score normalization.

1.5. SYSTEM

[0085] Referring now to **Figure 6**, an embodiment of systems and methods of this invention, generally **100**, is shown to include identifying a **subject**. The systems include a first or data acquisition and feature extraction or first module **M1**. A first step, **step 1**, involves acquiring user or class specific data using the first module **M1**, where the data may be biometric data, speech data,

medical data, medical imaging data, any other user specific or class specific data or any other data that can be used for multi-class classification problems. The system **100** also includes a second or score computation module **M2**. A second step, **step 2**, involves transferring the data acquired in the first module **M1** to the second module **M2**, where the second module **M2** produces similarity scores. The system **100** also includes a third or score normalization and integration module **M3** for normalizing the scores generated in the second module **M2** in a ranked-based manner. A third step, **step 3**, transfers scores generated in the second module **M2** to the third or score normalization and integration module **M3**. A fourth step, **step 4.1**, transfers the output of the **similarity scores** module **M3** to the fourth module **M4** for making a decision based on the processed scores, *e.g.*, normalized or normalized and integrated scores. A fifth step, **step 4.2**, transfers the acquired data to a gallery set module **M5**, because as the system operates, the gallery set may be enhanced. A sixth step, **step 6** transfers data from the **gallery set** module **M5** to the score computation module **M2** to obtain the available information that is used for score computation.

I.6. CONCLUSIONS

[0086] We demonstrated a rank-based score normalization framework for multi-sample galleries that included three different computer procedure or algorithm. Unlike other approaches^{4,10}, our first algorithm or computer procedure uses the rank of the scores for each gallery subject to partition the gallery set and normalizes each subset individually. The second algorithm or computer procedure exploits gallery-based information, while the third algorithm or computer procedure updates the available information in an online fashion. The experimental evaluation indicates that the use of our framework for unimodal systems results in increased performance when multiple samples per subject are available. Specifically, according to the relevant statistical tests the performance of our framework improves as we increase the number of samples per subject. Also, it yields increased discriminability within the scores of each probe.

PART I REFERENCES OF THE INVENTION

[0087] The following references were cited in the application contain general background information used to support and explain certain aspects of the invention:

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PART II

II.1. INTRODUCTION

[0088] Herein, we focus on score normalization for Verification and Open-set Identification for unimodal biometric systems. Verification is the task of comparing a probe against one or more previously enrolled samples to confirm a subject's claimed identity. The Open-set Identification is a two-step process: (i) determine whether a probe is part of the gallery, and if it is (ii) return the corresponding identity. The most common approach is to select the maximum matching score for a given probe and compare it against a given threshold. In other words, we match the probe against the gallery subject that appears to be the most similar to it. As a result, the Open-set Identification problem can be considered to be a hard Verification problem. A more detailed discussion about this point of view is provided by Fortuna et al.¹ The performance of biometric systems is usually degraded by a number of variations that may occur during data acquisition. For example, differences in pose, illumination and other conditions may occur. Consequently, each time that a different probe is compared against a given gallery the matching scores obtained follow a different distribution. One of the most efficient ways to address this problem is score normalization. Such techniques map scores to a common domain where they are directly comparable. As a result, a global threshold may be found and adjusted to the desired value. Score normalization techniques are also very useful when combining scores in multimodal systems. Specifically, classifiers from different modalities produce heterogeneous scores. Normalizing scores before combining them is thus crucial for the performance

of the system². Even though this application is not concerned with multimodal systems the relevant results of prior research are useful in understanding the intuition behind the present framework.

[0089] For the rest of this section we consider the following scenarios unless otherwise indicated: (i) the gallery is comprised of multiple samples per subject from a single modality, and (ii) the gallery is comprised of a single sample per subject from different modalities. We shall refer to the former scenario as unimodal and to the latter as multimodal. We note that the fusion of scores in the unimodal scenario is an instance of the more general problem of fusing scores in the multimodal scenario³. To distinguish between the two, we say that we integrate scores for the former while we combine scores for the latter. We notice that a search in Google Scholar for the last ten years (*i.e.*, 2002-2012) returns 333 papers that include the terms multimodal and biometric in their title while only eight entries are found for the unimodal case, respectively. The question that arises is whether there is space for improvement in the performance of unimodal biometric systems.

[0090] Herein, we present a rank-based score normalization framework that includes three computer procedure or algorithm where each of them is innovative in a different way. The first algorithm or computer procedure partitions a set of scores into subsets and then normalizes each subset independently when multiple samples per subject are available. The normalized scores may then be integrated using any suitable rule. We invoke the Stochastic Dominance theory to illustrate that our rank-based approach imposes the subsets' score distributions to be ordered as if each subset was obtained by a different modality. Therefore, by normalizing each subset individually the corresponding score distributions become homogeneous and the performance increases. The second algorithm or computer procedure exploits the gallery-based information to normalize scores in a *Gallery-specific* manner, when the system is confident concerning the probe's estimated identity. The normalized scores are then combined with the output of the first algorithm or computer procedure. Finally, the third algorithm or computer procedure dynamically augments the gallery in an online fashion. That is, the system incorporates probes to the gallery when a confidence level about their estimated identity has been reached. As set forth above⁴, however: (i) the second algorithm or computer procedure always exploited the gallery based information, and (ii) the gallery-based information was augmented without incorporating probes to the gallery. As a result, the framework did not have a mechanism to deal with incorrect identity estimates. Moreover, it was only applicable to multi-sample galleries. The present version of our framework on the other hand is applicable to single-sample galleries under an online setting. We also pose questions about uninvestigated problems up to this date and suggest relevant directions for future research. Besides the proposed extensions we further provide better insights and a more detailed experimental evaluation. Specifically, we use the **FRGC v2**⁵⁻⁶ and **UHDB11** Face Databases⁷ that provide more match scores

and a greater variability during the data acquisition conditions, respectively. In addition, we employ the Z-score, MAD and W-score⁸ normalization techniques in conjunction with the max and sum fusion rules. Moreover, we present comparative results between the present extensions and the computer procedure or algorithm present in **Part I** along with results under optimal and pessimal conditions. Finally, we note that this part is not to evaluate combination or integration rules nor to assess score normalization techniques. Instead, we present an approach that has the potential to increase the performance of unimodal biometric systems.

[0091] The rest of this part of the application is organized as follows: **section II.2** reviews score normalization techniques and fusion rules, **section II.3** provides an overview of the Stochastic Dominance theory and describes the present computer procedure or algorithm, **section II.4** presents the relevant experimental results, **section II.5** provides a discussion about possible directions for future research, and **section II.6** concludes this part of the application with an overview of our findings.

II.2. RELATED WORK

[0092] In this section, we focus on the advantages and limitations of the methods that we used in our experiments. This is due to the fact that the present framework can be implemented in conjunction with any score normalization technique and any fusion rule.

II.2.1 Fusion Rules

[0093] Kittler et al.⁹ have studied the statistical background of fusion rules. Such rules address the general problem of fusing evidence from multiple measurements. Hence, they may be used to both integrate and combine scores³. We note, however, that the work by Kittler et al.⁹ refers exclusively to likelihood values. Nevertheless, such rules are often applied to scores even if there is not a clear statistical justification for this case. Herein, we have used the sum and max rules. The former was implemented by a simple addition under the assumption of equal priors. Even though this rule makes restrictive assumptions it appears to yield good performance as demonstrated in Kittler et al.⁹ and Nandakumar et al.² The latter on the other hand makes less restrictive assumptions, and it is also very simple to implement. Specifically, the output of this rule is defined to be the maximum score obtained.

II.2.2 Score Normalization Techniques

[0094] Score normalization techniques were used in order to: (i) accommodate for the variations between different biometric samples (*e.g.*, probes) and, (ii) make score distributions from multimodal biometric systems homogeneous before combining them. A comprehensive study of such approaches is offered by Jain et al.²

Z-score

[0095] Due to its simplicity and good performance in many settings this is one of the most widely used and well examined techniques. In particular, it is expected to perform well when the location and scale parameters of the score distribution may be approximated sufficiently by the mean and standard deviation estimates, respectively. Additionally, for Gaussian scores this approach may retain the shape of the distribution. The most notable disadvantages of Z-score normalization are: (i) it cannot guarantee a common numerical range for the normalized scores, and (ii) it is not robust as the mean and standard deviation estimates are sensitive to outliers.

Median and Median Absolute Deviation (MAD)

[0096] This score normalization technique replaces the mean and standard deviation estimates in the Z-score formula with the median value and the median absolute deviation, respectively. Therefore, it addresses the problem of robustness due to outliers. On the other hand though it is not optimal for scores that follow a Gaussian distribution.

W-score

[0097] Scheirer et al.⁸ recently proposed the use of a score normalization technique that models the tail of the non-match scores. The greatest advantage of this approach is that it does not make any assumptions concerning the score distribution. It also appears to be robust and yields good performance. However, in order to employ W-score the user has to specify the number of scores to be selected for fitting. While in most cases it is sufficient to select as few as five scores we have found that selecting a small number of scores yields discretized normalized scores. Consequently, it is not possible to assess the performance of the system in low false acceptance rates or false alarm rates. On the other hand, selecting too many scores may violate the assumptions required to invoke the Extreme Value Theorem. Another limitation of W-score is that it cannot be applied to multi-sample galleries unless an integration rule is first employed. Consequently, it is not possible to obtain normalized scores for each sample independently. As it will be demonstrated the proposed framework addresses this problem and extends the use of W-score to multi-sample galleries.

II.3. RANK-BASED SCORE NORMALIZATION FRAMEWORK

[0098] In this section, we first review the theory of Stochastic Dominance which is an important part of the theoretical background of our approach. Then, we describe the three computer procedures or algorithms that comprise the Rank-based Score Normalization Framework. Since each computer procedure or algorithm builds on top of the other we begin from the most general case and build our way through to the most restricted one. At the end of each section we provide a brief discussion with our insights along with implementation details. An overview of the present computer procedure or algorithm is presented in **Figure 7**.

II.3.1 Stochastic Dominance Theory

[0099] In this section, we present basic concepts of the stochastic dominance theory which is used to cover theoretical aspects of the present framework. We note that the theory of stochastic dominance falls within the domain of decision theory and therefore it is widely used in finance.

Definition

[00100] The notation $X \succeq_{FSD} Y$ denotes that X first order stochastically dominates Y , that is

$$Pr \{X > z\} \geq Pr \{Y > z\}, \quad \forall z \quad (1)$$

As it is implied by this definition the corresponding distributions will be ordered. This fact becomes more clear by the following lemma (its proof may be found in Wolfstetter et al.¹⁰).

Lemma:

[00101] Let X and Y be any two random variables, then

$$X \succeq_{FSD} Y \Rightarrow E[X] \geq E[Y] \quad (2)$$

[00102] An illustrative example of first order stochastic dominance is depicted in Fig 1 of Wolfstetter et al.¹⁰ where for $\bar{F}(z) \quad \bar{G}(z)$. Note that the first order stochastic dominance relation

implies all higher orders Durlauf et al.¹¹ In addition, this relation is known to be transitive as implicitly illustrated by Birnbaum et al.¹² Finally, the first order stochastic dominance may also be viewed as the stochastic ordering of random variables.

II.3.1.1 Key Remarks

[00103] Score normalization techniques are used to make score distributions of different probes and/or different modalities homogeneous. In **section II.3.2**, we invoke the theory of stochastic dominance to illustrate that a rank-based partitioning of the scores for a single probe yields subsets with ordered score distributions. Therefore, by normalizing the scores of each resulting subset we make the corresponding score distributions homogeneous and increase the discriminability of the scores on a per probe basis.

II.3.2 Rank-based Score Normalization

[00104] In this section, we present the *Rank-based Score Normalization (RBSN)* that partitions a set of scores into subsets and then normalizes each subset independently. This compute procedure or algorithm may be employed under this assumption that multiple biometric samples per subject are available. An overview is provided in **Algorithm II.1** below. The notation to be herein are as follows:

- S^p : the set of match scores for a given probe p , when compared against a given gallery set
- S_i^p : the set of scores that correspond to the gallery subject with $identity=i, i^p S \subseteq S^p$
- $S_{i,r}^p$: the rank- r score of S_i^p
- $S^{p,N}$: the set of normalized scores for the given probe p
- C_r : the rank- r subset, $\bigcup_r C_r = S^p$
- $|d|$: the cardinality of any given set d

- I: the set of unique gallery identities
 f: a given score normalization technique

Algorithm II.1 Rank-based Score Normalization

```

1:  procedure  $RBSN(S^p = \bigcup_i \mathcal{S}_i, f)$ 
   Step 1:      Partition  $S^p$  into subsets
2:       $C_r = \{\emptyset\}, \forall r$ 
3:      for  $r = 1 : \max_i \{|\mathcal{S}_i|\}$  do
4:          for all  $i \in I$  do
5:               $C_r = C_r \cup \mathcal{S}_{i,r}^p$ 
6:          end for
7:      end for                                 $\triangleright (i.e., C_r = \bigcup_i \mathcal{S}_{i,r}^p)$ 
   Step 2: Normalize each subset  $C_r$ 
8:       $\mathcal{S}^{p,N} = \{\emptyset\}$ 
9:      for  $r = 1 : \max_i \{|\mathcal{S}_i|\}$  do
10:          $\mathcal{S}^{p,N} = \mathcal{S}^{p,N} \cup f(C_r)$ 
11:      end for
12:      return  $\mathcal{S}^{p,N}$ 
13: end procedure

```

Step 1 - Partition S^p into Subsets

[0105] The main objective of this step is to partition the set of scores S^p into subsets C_r . The symbol $\mathcal{S}_i^p$ denotes the set of scores that correspond to the gallery subject with *identity* equal to i . Each subset C_r is formed by selecting the rank- r score from every set $\mathcal{S}_i^p$. This procedure is repeated until all scores in S^p have been assigned to a subset C_r . Each curve in **Figure 8** depicts the probability density estimate that corresponds to a subset C_r obtained from **Step 1** of RBSN.

[0106] We now demonstrate that the ordering of the densities in **Figure 8** is imposed by the rank-based construction of the subsets C_r . By construction we have that

$$\mathcal{S}_{x,i}^p \geq \mathcal{S}_{x,j}^p, \forall i \leq j \text{ and } \forall x$$

[0107] Let X_i and X_j be the variables that correspond to $\mathcal{S}_{x,i}^p$ and $\mathcal{S}_{x,j}^p$ (*i.e.*, C_i and C_j), respectively. As demonstrated by Hadar and Russell¹³ this condition is sufficient to conclude that $X_i \succeq_{\text{FSD}} X_j$. Given

the relevant results from **section II.3.1** it is clear that the densities P_{X_i} and P_{X_j} are ordered if $i < j$.

Step 2 – Normalize Each Subset C_r

[0108] The set $\mathcal{S}^{p,N}$ is initially empty and it is gradually updated by adding normalized scores to it. Specifically, the scores for a given subset C_r are normalized independently of the other subsets and then added to $\mathcal{S}^{p,N}$. This procedure is repeated until the scores of all the subsets C_r have been normalized and added to $\mathcal{S}^{p,N}$.

1) Key Remarks

[0109] First, we elaborate on when and why **RBSN** yields increased performance. Under the multimodal scenario a set of scores is obtained from each modality. Since each set is obtained by a different classifier the corresponding score distributions are heterogeneous. Therefore, a score normalization step that maps the scores for each set into a common domain is usually employed. Then, the normalized scores are combined in order to increase the systems' performance²⁻³. The obtained subsets from **Step 1** include by construction at most one score per gallery subject and their distributions are also ordered. Using exactly the same arguments made in previous works for the multimodal case, it is expected that our approach results in increased performance. After all, since we do not normalize scores from different modalities together there is no good reason to do so under the unimodal scenario. In particular, the main strength of our approach compared to the raw implementation of score normalization techniques is that it exploits more information on a per probe basis. Consequently, it is expected to primarily increase the separation between match and non-match scores for each probe independently. However, as in the case of multimodal systems, an improved overall performance cannot always be guaranteed when our framework is employed. For instance, increased separation between the match and non-match scores for a single probe (*i.e.*, better rank-1 accuracy) might come at the cost of a decreased separation between the match and nonmatch scores across probes and vice versa. In addition, an important limitation of our rank-based approach is that we cannot make any inferences concerning the score distributions of the subsets C_r . Even if the set of scores for a given probe is known to follow a certain distribution, the resulting subsets might follow a different, unknown distribution. Nevertheless, our experiments indicate that **RBSN** yields increased performance in practice. Moreover, the use of the non-parametric W-score normalization is now feasible as the constructed subsets C_r include at most one score per subject.

2) Implementation Details

[0110] We note that score ties may be broken arbitrarily when computing the corresponding ranks since they do not affect the final outcome. Also, both ranking the scores for each gallery subject and normalizing the scores of each subset C_r may be implemented in parallel. Hence, our framework is quite scalable. Moreover, we note that galleries with different numbers of samples per subject result in subsets with different number of elements (see **Figure 8**). Consequently, it is possible to obtain a subset which has few elements, and therefore a score normalization technique should not be applied. This is likely to happen for low rank subsets. In such cases, we may substitute such scores in many ways (*e.g.*, use the corresponding normalized score we would obtain if **RBSN** was not used). For the purposes herein, we replace such scores with *Not a Number (NaN)* and we do not consider them at a decision level. Finally, we note that sometimes it is better to first integrate scores before we

normalize them, while in other cases it is not. The intuition behind this is that in some cases the integrated scores are of a better quality, and thus the score normalization may be more effective. By integrating the scores on the other hand we might reduce and degrade the quality of the available information. In such cases, it is usually better to normalize the scores before we integrate them. In summary, the final performance depends on a combination of factors such as the quality of the scores at hand, the score normalization technique, the fusion rule, and the order that they are applied. However, there is not an analytical rule that indicates in which cases it is better to integrate scores before we normalize them or vice versa. Since our framework exploits information from multiple samples per subject, herein we always normalize the scores before we integrate them.

II.3.3 Rank-based Score Normalization Aided by Gallery-Based Information

[0111] In this section, we present the *Rank-based Score Normalization aided by Gallery-based Information* (GRBSN) that exploits the gallery versus gallery match scores. Specifically, we compare the gallery against itself and organize the obtained scores using a symmetric matrix G . Each element $g_{i,j}$ corresponds to the matching score obtained by comparing the i^{th} and j^{th} samples of the gallery. We summarize the present approach in **Algorithm II.2** below. The additional notation to be used is as follows:

- G : the gallery versus gallery match scores matrix
- $g_{i,j}$: the matching score obtained by comparing the i^{th} and the j^{th} elements of the gallery, $g_{i,j} \in G$
- n : the number of columns in G
- $S^{p,N}$: the set of normalized scores S^p
- h : a given integration rule
- t : a given threshold

[00112] By construction, there is a correspondence between G and S^p . That is, the i^{th} row/column of G refers to the same gallery sample as the i^{th} score of S^p .

Algorithm II.2 Rank-based Score Normalization aided by Gallery-based Information

- 1: **procedure** $GRBSN(G, S^p = \bigcup_i \{S_i^p\}, f, h, t)$
- 2: **if** $\max(h(RBSN(S^p, f))) \geq t$ **then**
 Case 1: Probe is part of the Gallery
 Step 1.1: Augment G
 3: $\{g_{:,n+1}\} = S^p$ $\triangleright n \rightarrow n + 1$
 Step 1.2: Normalize the Augmented G
 4: Associate the n^{th} column of G with the gallery identity that corresponds to the $Rank - 1$ score of $h(RBSN(S^p, f))$
 5: **for** $i = 1 : |g_{:,1}|$ **do**
 6: $\{g_{i,:}\} = RBSN(g_{i,:}, f)$
 7: **end for**
 Step 1.3: Compute $S^{p,N}$
 8: $S^{p,N} = h(RBSN(S^p, f), g_{:,n})$
 9: **else**
 Case 2: Probe is not part of the Gallery

Step 2.1: Compute $S^{p,N}$

10. $S^{p,N} = \text{RBSN}(S^p; f)$
 11. **end if**
 12. **return $S^{p,N}$**
 13. **end procedure**

Case 1 – Probe Is Part of the Gallery

[0113] The **RBSN** algorithm or computer procedure is employed to normalize the scores by using a given score normalization technique f . Then an integration rule h is applied to the obtained normalized scores. If the maximum score is above a given threshold t (i.e., $\max(h(\text{RBSN}(S^p, f))) \geq t$) then the probe believed to be part of the gallery set.

Step 1.1 – Augment G

[0114] One more column is added to G that is comprised of the scores in S^p .

Step 1.2 – Normalize the Augmented G

[0115] Each row of the augmented matrix G is treated independently and normalized using **RBSN**. The probe p is unlabeled and thus the last score of each row of G is not associated with any identity. To address this problem, the *Rank* – 1 score of $h(\text{RBSN}(S^p; f))$ is used to label the scores of the last column of the augmented matrix G . Normalizing each row of G using **RBSN** is thus feasible and the *row-wise* normalized matrix G is obtained.

Step 1.3 – Compute $S^{p,N}$

[0116] The last column of the augmented matrix G contains the *Gallery*-specific normalized scores that correspond to the probe p . The $\text{RBSN}(S^p; f)$ corresponds to the *Probe*-specific normalized scores for the same probe p . Hence, the two vectors are combined using the relevant rule h .

Case 2 – Probe Is Not Part of the Gallery

[0117] If the maximum score obtained from $h(\text{RBSN}(S^p, f))$ as in **Case 1** is not higher than the given threshold t , then the probe is not believed to be part of the gallery. Consequently, the *Gallery*-based information cannot be exploited using **RBSN**.

Step 2.1 – Compute $S^{p,N}$

[0118] The *gallery*-based information is not used and the scores are normalized by employing the **RBSN** algorithm or computer procedure.

1) Key Remarks

[0119] First, we now detail on why **GRBSN** is expected to produce better normalized scores. Each score in S^p is normalized in relation to: (i) scores in S^p , and (ii) scores contained in each row of G (see **Figure 7**). Thus, we obtain both *Probe*-specific and *Gallery*-specific normalized scores exploiting each time a different source of information. Combining the two scores is reasonable, as the same rules are suitable when combining evidence for multiple measurements³. The combined scores may

then be integrated using any integration rule as usual.

2) Implementation Details

[0120] We note that the implementation presented in **Algorithm II.2** and shown in **Figure 7** increases the readability of the present disclosure and helps the reader understand the present approach. In practice, an optimized version may be employed to speed up the processing time. For example, each time that **RBSN** is applied in **Step 1.2** only the subset C_r that corresponds to the score of the last column of G needs to be normalized. Moreover, the normalization of each row of the augmented matrix G in **Step 1.2** may be implemented in parallel, and thus **GRBSN** may scale up well. A major limitation of this method though is the estimation of the probe's identity (*i.e.*, **Step 1.2**). We may overcome this problem by ignoring the identity estimation (*i.e.*, lines 2, 4, 9 & 10). That is, the *Gallery*-based information is still exploited by normalizing the scores using the normalization technique f , but without implementing **RBSN** in: (i) **Step 1.2**, or (ii) **Step 1.2** and **Step 1.3**. The former approach though might produce normalized scores, which are not homogeneous and thus induce noise. This heteroskedasticity is attributed to the fact that the *Gallery*-specific scores are normalized in sets of size $n + 1$. The *Probe*-specific scores on the other hand are partitioned and normalized in sets of size $|I|$ or smaller. Consequently, there is a mismatch in the amount of information used in the two cases. The later approach is expected to produce normalized scores of a lower quality since we do not exploit the benefits of **RBSN**. For these reasons, we adopt the implementation described in **Algorithm II.2**, which both exploits the benefits of **RBSN** and normalizes scores organized in subsets of similar sizes. Moreover, the threshold value of **Algorithm II.2** may be selected based on the prior information. A high threshold will contribute to robust estimates by **GRBSN** because the identity estimation will be correct in most cases. However, the improvements over **RBSN** most likely will not be significant due to the small number of cases that the *Gallery*-based information is actually used. On the other hand, using a low threshold value might assign incorrect identities to the probes, and hence would induce noise that might degrade the system's performance. An analytical rule that provides a good tradeoff cannot be found since the final performance depends on the data at hand along with the score normalization and fusion techniques employed.

II.3.4 Online Rank-based Score Normalization

[0121] In this section, we build upon the **GRBSN** algorithm or computer procedure and present an online version of the present framework (**ORBSN**). This approach uses information from probes that have been submitted to the system to dynamically augment the gallery. We provide an overview of the *Online Rank-based Score Normalization* in **Algorithm II.3** below. As in **Section II.3.3**, we make use of information from the gallery versus gallery matching scores. The additional notation to be used

is as follows:

- $\mathbb{G}$: the set of biometric samples in the gallery
- P : the set of probes presented to the system
- S : the set of scores for all probes, $\bigcup_p S^p = S$
- S^N : the set of normalized scores S
- t : a given threshold

Algorithm II.3 – Online Rank-based Score Normalization

```

1:  procedure ORBSN( $\mathbb{G}$ ,  $G$ ,  $S = \bigcup_p \{S^p\}, f, h, t$ )
2:      for all  $p = 1 : |P|$  do
3:          Step 1: Apply GRBSN
4:           $S^{p,N} = \text{GRBSN}(G, S^p, f, h, t)$ 
5:          Step 2: Augment  $\mathbb{G}$  and Re-compute  $G$ 
6:          if  $\max(h(S^{p,N})) \geq t$  then
7:               $\mathbb{G} = \mathbb{G} \cup p$  ▷ incorporate probe  $p$ 
8:              Re-compute the gallery versus gallery similarity scores
9:              using the augmented gallery set  $\mathbb{G}$ 
10:          end if
11:      end for
12:      return [ $S^N = \bigcup_p \{S^{p,N}\}, \mathbb{G}$ ]
13:  end procedure

```

Step 1 – Apply GRBSN

[0122] In this step, GRBSN is applied using the corresponding inputs.

Step 2 – Augment $\mathbb{G}$ and Re-compute G

[0123] If the probe is believed to be part of the gallery set by some rule (e.g., $\max(h(S^{p,N})) \geq t$), then p is incorporated into $\mathbb{G}$. Based on the new set of biometric samples in $\mathbb{G}$ the matrix G is updated by re-computing the gallery versus gallery matching scores. When a new probe is submitted to the system it will be compared against the augmented gallery $\mathbb{G}$ and the corresponding matrix G .

1) Key Remarks

[0124] The intuition of ORBSN is very similar with the idea presented in section II.3.3 in the sense that we apply both *Probe*-specific and *Gallery*-specific normalization. When the system is confident concerning the identity of a submitted probe the corresponding biometric sample is incorporated to the gallery. As a result, the available information is updated in two ways: (i) new probes are compared against an augmented gallery, and (ii) the gallery-based information exploited by GRBSN is also enhanced. Hence, the present framework may be applied to single-sample galleries as previously submitted probes may be used to increase the number of samples per gallery subject.

2) Implementation Details

[0125] An implicit assumption of ORBSN is that some of the submitted probes will be part of the gallery because otherwise $\mathbb{G}$ would never be updated. In addition, we note that each time that the

gallery is updated we need to compare the next submitted probe with an additional biometric sample. Even worse, each row of G now contains an extra score to be considered when the *Gallery*-specific normalization is employed. This increases the computational complexity of the system. One possible solution to this problem would be to impose an upper bound on the number of samples per gallery subset. In addition, a rule concerning the most informative subset of biometric samples per gallery subject could be used to determine which samples will be included in G . However, a general solution to this problem does not currently exist. On the bright side, G does not have to be re-computed at each iteration since the matching scores have already been computed. Finally, even though **ORBSN** and **GRBSN** share many characteristics different thresholds could be used in **Step 1** and **Step 2**. Intuitively, the threshold used to augment G should have a higher value since any mistakes are going to be propagated.

II.4. EXPERIMENTAL EVALUATION

[0126] In this section, we present the: (i) the data sets – **II.4.1**, (ii) evaluation measures – **II.4.2**, (iii) general implementation details – **II.4.3**, and (iv) experimental results – **II.4.4**.

II.4.1 Databases

UHDB11

[0127] The data in **UHDB11**⁷ have been acquired from 23 subjects under six illumination conditions. For each illumination condition, the subject was asked to face four different points inside the room. This generated rotations on the Y axis. For each rotation on Y , three images were also acquired with rotations on the Z axis (assuming that the Z axis goes from the back of the head to the nose, and that the Y axis is the vertical axis through the subject's head). Thus, images under six illumination conditions, four Y rotations and three Z rotations per subject were acquired. In total, this database includes 72 pose/light variations per subject for 23 subjects. Hence, as many as 2,742,336 pairwise comparisons may be formed. Each sample includes both 2D image captured using a Canon™ DSLR camera and a 3D mesh captured by 3dMD™ 2-pod optical 3D system. The scores used in the experiments for **UHDB11** were provided by Toderici et al.¹⁴

FRGC v2

[0128] This database includes 4,007 biometric samples obtained from 466 subjects under different facial expressions. The method of Ocequeda et al.¹⁵ was employed in order to extract signatures from the 3D meshes. The Bosphorus database¹⁶ was used a training set because according to the first part of this application it yields the best performance when a single training set is used. To compute the Euclidean distance for the 16,056,049 pairwise combinations of the available samples 27 basis function were used. Finally, the obtained distances were transformed into scores by using the formula $score = \max(distance) - distance$. This way, the scaling of the score distribution is not altered and

all the scores lie in the interval $[0, \max(\text{distance})]$. We note that even though this database provides numerous scores for experimental evaluation it consists of 3D data. Consequently, distortions such as pose and lighting conditions do not affect the performance of the system and the score distributions are therefore homogeneous in general. This is evident by the high performance reported in the first part of the application using *raw scores* (*i.e.*, verification rate greater than 97% at a false acceptance rate of 10^{-3} for the **Experiments II.1-3**).

II.4.2 Performance Measures

[0129] To provide an overview of the system's performance for the Open-set Identification task the *osi-ROC* is used that compares the Detection and Identification Rate (DIR) against the False Alarm Rate (FAR) to provide an overview of the system's performance for the Open-set Identification task¹⁷. For the same task we also use the Open-set Identification Error (OSI-E). That is, the rate at which the max score for a probe corresponds to an incorrect identity given that the subject depicted in the probe is part of the gallery¹. Specifically, the OSI-E is inversely proportional to the percentage of correct classifications based on the rank-1 scores for probes in the gallery, a metric that is usually reported for the closed-set identification task. To assess the Verification performance and the separation of match and non-match scores the ROC that compares Verification Rate (VR) against the False Acceptance Rate (FAR) is used. Different methods result in FARs with different ranges. Hence, quantities such as Area Under the Curve (AUC) and max-DIR are not directly comparable. Therefore, a common FAR range is selected by setting the universal lower and upper bound to be equal to the *infimum* and *supremum*, respectively. That is, the universal upper bound is defined to be the minimum of the maximum FAR values obtained for a set of curves to be compared. This FAR adjustment is performed per recognition task (*i.e.*, Openset Identification and Verification) and per integration rule (*i.e.*, sum and max) for each experiment. Finally, we denote by ΔAUC the relative improvement of the raw scores performance (*e.g.*, $\Delta AUC = (AUC_{RBSN} - AUC_{\text{raw}})/AUC_{\text{raw}}$).

II.4.3 General Implementation Details

[0130] For the Verification task we assume that each probe is compared to all the gallery subjects, one at a time. We further assume that the rest of the subjects may be used as cohort information. Although the experimental protocol employed is an unlikely scenario, it provides rich information for evaluating the performance of the present framework under a Verification setting. The W-score normalization was implemented by selecting five scores each time to fit a Weibull distribution. This number of scores has been empirically found to be sufficient⁸. Using five scores for fitting however sometimes yields discretized normalized scores. Results for which the corresponding FAR range is less than 10^{-1} are omitted. In addition, W-score is not directly applicable to multi-sample galleries, and thus, the corresponding results are omitted as well. Subsets C_r that included less than 10 scores

and/or had a standard deviation less than 10^{-5} were not normalized. The reason is that in such cases the available information is not rich enough. The corresponding values were replaced by *NaN*. The notation **RBSN:Z-score** is used to indicate that Z-score normalization has been used as an input to **Algorithm II.1**. For **GRBSN** and **ORBSN**, results are reported based on: (i) optimal identity estimation (*i.e.*, **GRBSN:Zscore_o**), (ii) pessimal identity estimation (*e.g.*, **GRBSN:Zscore_p**), (iii) threshold t_i (*e.g.*, **GRBSN:Zscore_{t_i}**), and (iv) our previous work as a baseline (*i.e.*, **GRBSN:Zscore_b**). In order to specify the threshold values t_i , we used the matrix G . That is, we normalized G using **RBSN**. The value that results in the minimum non-zero FAR under an Open-set Identification task was used as the first threshold (*i.e.*, t_1). The second threshold t_2 was defined as the value that yields an FAR value 100 times higher than the minimum non-zero FAR which was used for computing t_1 . We also note that the user may employ different fusion rules at different steps in **GRBSN** and **ORBSN**. In our experience, the max rule yields better rank-1 classification, while the sum rule results in less discretized scores, which is better when the point of interest is the separation of the match and non-match scores. Therefore, we have used the max rule when needed to estimate the probe's identity and the sum rule to combine scores in the corresponding computer procedures or algorithms. For the integration task results are provided for both rules as indicated in the tables with the relevant results. To assess the performance of **ORBSN**, a Leave-One-Out approach was adopted. Each time we assumed that $|P| - 1$ probes have been submitted to the system and a decision has to be made for the remaining one. The system uses a threshold to select a subset of the $|P| - 1$ probes for which it is confident concerning the estimated identity. Then, the corresponding samples are incorporated to the gallery G and **ORBSN** is implemented as in **Algorithm II.3**. While this approach does not track the improvement over time, it provides deterministic results and avoids randomization errors (*i.e.*, ordering of the submitted probes). The matrix G contains only units in the diagonal. We replaced these values with *NaN* in order to avoid distortions when estimating the necessary parameters (*e.g.*, mean value in Z-score).

II.4.4 Experimental Results

EXPERIMENT II.1

[0131] The objective of this experiment are to assess: (i) the performance of **RBSN** for both Open-set Identification and Verification tasks; (ii) the effect of **RBSN** on the match and non-match scores separation on a per probe basis, and (iii) the effect of different illumination conditions. For **UHDB11**, we used six samples per subject to form a gallery, one for each illumination condition. As a result, random effects between the gallery subjects (samples) due to lighting conditions were eliminated. Five, six and ten match scores are reported in the prior art¹⁸⁻²⁰. Our gallery for this experiment comprised of 138 samples and the remaining 1,486 samples were used as probes. Even

though this design yields a closed-set problem reporting results for the Openset Identification task remains relevant. The reason is that the overlap of the match and non-match score distributions for Open-set Identification is higher compared to that obtained for Verification et. al¹. To form the gallery for **FRGC v2** 1,893 samples from 350 subjects were randomly selected. The remaining 2,114 samples obtained from 302 subjects are used as probes. Note that this experimental protocol yields an open-set problem. The results of this experiment are summarized in **Table II.1** and partial results are depicted in **Figure 9**.

TABLE II.1
Summary of the results from Experiment 1

UHDB11	Sum Rule				Max Rule			
	Open-set Identification			Verification	Open-set Identification			Verification
Method	OSI-E (%)	max-DIR (%)	osi- Δ AUC	vr- Δ AUC	OSI-E (%)	max-DIR (%)	osi- Δ AUC	vr- Δ AUC
BI	28.73	71.20	92.76	93.05	28.73	71.20	95.27	91.11
Z-score e	13.53	86.41	267.69	165.69	10.43	86.41	259.77	173.69
RBSN:Z-score	16.35	81.70	297.04	179.19	10.50	81.70	280.00	181.11
RBSN:W-score	24.23	58.75	194.32	158.08	27.99	<i>NaN</i>	<i>NaN</i>	87.00
MAD	13.53	86.41	260.87	151.01	10.43	86.41	222.57	152.44
RBSN:MAD	14.94	84.52	277.15	155.03	13.53	84.52	138.44	133.82
FRGC v2	Sum Rule				Max Rule			
	Open-set Identification			Verification	Open-set Identification			Verification
Method	OSI-E (%)	max-DIR (%)	osi- Δ AUC	vr- Δ AUC	OSI-E (%)	max-DIR (%)	osi- Δ AUC	vr- Δ AUC
Z-score	0.74	99.26	100.94	93.82	0.30	99.71	83.47	90.53
RBSN:Z-score	0.66	99.34	100.03	95.13	0.22	99.71	82.54	90.49
RBSN:W-score	3.62	96.01	94.32	69.37	2.73	<i>NaN</i>	<i>NaN</i>	52.69
MAD	0.74	99.26	100.58	82.06	0.30	99.70	68.99	84.55
RBSN:MAD	0.66	99.34	101.37	83.90	0.22	99.78	65.33	83.89

[0132] For the more general AUC indexes, RBSN appears to increase the performance in 9/16 cases. For the more specific OSI-E and max-DIR measures **RBSN** appears to yield increased performance in 7/15 cases. In summary, no general conclusions can be drawn about whether **RBSN** increases the overall performance or not. The performance of **RBSN** appears to yield better results for **FRGCv2** compared to **UHDB11**. One possible explanation is that the number of scores per subset C_r is about 23 for **UHDB11** and 350 for **FRGC v2**. Therefore, partitioning the scores for **UHDB11** results in small subsets which are sensitive to noise. Finally, the Δ AUC values for **FRGC v2** are always below 100 which means that the score normalization degrades the performance of the raw scores. This is due to the fact that the biometric samples are all 3D and thus distortion-free. A more detailed analysis is provided in **Experiment II.4**.

[0133] To investigate whether **RBSN** increases the separation of the match and non-match scores for a given probe we performed statistical hypothesis testing. In particular, for each probe the ROC curves and the corresponding AUCs were computed. The AUC values were used to perform non-parametric Wilcoxon Signed-Rank tests²¹. The null hypothesis was set to H_0 : the **RBSN** and raw

median AUCs are equal, and the alternative to H_0 : the RBSN median AUC is larger than the raw median AUC. The Bonferonni correction was used to ensure that the overall statistical significance level (*i.e.*, $\alpha=5\%$) is not overestimated due to the multiple test performed. That is, the statistical significance of each individual test was set to α/m , where m is the number of test performed. The obtained p-values for **UHDB11** are: (i) Z-score vs. Raw Scores: 1, (ii) **RBSN**:Z-score vs. Z-score: 6.8×10^{-240} (iii) **RBSN**:W-score vs. Raw Scores: 9.5×10^{-240} , (iv) AD vs. Raw Scores: 1, and (v) **RBSN**:MAD Vs. MAD: 4.8×10^{-240} . The corresponding p-values for **FRGC v2** are: (i) Z-score vs. Raw Scores: 1, (ii) **RBSN**:Z-score vs. Z-score: 2.8×10^{-36} , (iii) **RBSN**:Wscore vs. Raw Scores: 2.1×10^{-21} , (iv) MAD vs. Raw Scores: 1, and (v) **RBSN**:MAD vs. MAD: 8.1×10^{-31} . The test W-score vs. Raw Scores cannot be performed because W-score is not applicable to multi-sample galleries. These results indicate that the separation of match and non-match scores for each probe significantly increases when **RBSN** is used (*i.e.*, H_0 is rejected). However, this is not the case for Z-score or MAD which are linear transformations and yield identical AUC values to the raw scores. As pointed out in **Section II.3**, while the separation of the match and non-match scores for each probe significantly improves when **RBSN** is employed it does not always imply a better performance overall.

[0134] To systematically assess the effects of different illumination conditions the **UHDB11** database was used. In particular, one gallery sample was selected at a time obtained under the same illuminations condition. Then, the performance of the corresponding raw scores was computed. For each of the evaluation measures the illumination condition that resulted in the best performance across probes was retained. The corresponding results are presented in **Table II.1** for the method denoted by BI (*i.e.*, best illumination). For the OSI-E and max-DIR measures BI is compared to Z-score as the latter is equivalent to the raw scores performance. In all cases, using six samples per gallery samples yields better performance than BI. Similarly, both osi- and vr- Δ AUC values for BI are below the ones obtained for the raw scores. We conclude that using multiple samples per gallery subject under various illumination conditions helps the system to address the challenge posed by different lighting conditions in the probes. However, the **RBSN** score normalization exploits the existing information in a better way and increases the performance even further.

EXPERIMENT II.2

[0135] The objective of this experiment is to assess the effect that different number of samples per gallery subject has to the performance of **RBSN**. To this end, we randomly select one, three, and five number of samples per subject of the galleries defined in **Experiment II.1** and computed the ROC curves and the corresponding AUC values. This procedure is repeated 100 times and the obtained values for Z-score are depicted in the corresponding boxplots shown in **Figure 10** for **UHDB11**. For the statistical evaluation of these results we used the non-parametric Mann-Whitney U test.

Specifically, the null hypothesis assumes that the median values are equal when three and five samples are used while the alternative assumes that the median AUC value is increased when five samples are used rather than three samples. The obtained p-values for **UHDB11** are: (i) Raw Scores: 0.9, (ii) Z-score: 0.8, (iii) **RBSN**:Z-score: 1.3×10^{-34} , (iv) **RBSN**:W-score: 1.3×10^{-34} , (v) MAD: 0.14, and (vi) **RBSN**:MAD: 1.3×10^{-34} . The obtained p-values for **FRGC v2** are: (i) Raw Scores: 1, (ii) Z-score: 0.5, (iii) **RBSN**:Z-score: 0.3, (iv) **RBSN**:W-score: 0.3, (v) MAD: 0.9, and (vi) **RBSN**:MAD: 0.6. For **UHDB11** the null hypothesis is rejected only when **RBSN** is employed. and the minimum possible p-value is obtained. While for **FRGC v2** the null hypothesis is not rejected in any case, we notice that the obtained p-values are smaller when are our framework is employed. Therefore, we have strong statistical indications that score normalization techniques benefit more by an increase in the number of samples per gallery subject if they are used in conjunction with our approach.

EXPERIMENT II.3

[0136] The objectives of this experiment are to assess: (i) the improvements obtained over **RBSN** by exploiting gallery-based information, and (ii) the performance of the different versions of **GRBSN** for the Open-set Identification and Verification tasks. The gallery and probe sets were defined in the same way as in **Experiment II.1**. Therefore, the results of **Experiments II.1** and **Experiment II.3** are directly comparable. An overview of the **GRBSN** performance is presented in **Tables II.3** and **Table II.3** and partial results are depicted in **Figure 11**.

TABLE II.2
Summary of the results from Experiment 3

UHDB11	Sum Rule				Max Rule			
	Open-set Identification			Verification	Open-set Identification			Verification
Method	OSI-E (%)	max-DIR (%)	osi- Δ AUC	vr- Δ AUC	OSI-E (%)	max-DIR (%)	osi- Δ AUC	vr- Δ AUC
GRBSN:Z-score _p	9.96	87.21	323.51	157.03	11.78	81.43	205.61	156.35
GRBSN:Z-score _o	11.37	79.81	343.36	167.56	9.29	87.75	266.35	167.89
GRBSN:Z-score _{3s}	12.79	77.66	348.19	168.04	11.10	86.99	264.98	165.85
GRBSN:Z-score _{5s}	15.61	74.16	412.50	173.60	10.63	86.14	357.41	173.03
GRBSN:W-score _p	7.47	92.46	693.09	193.60	6.93	93.00	296.64	172.04
GRBSN:W-score _o	16.35	56.26	15.63	121.40	16.35	56.26	15.63	121.40
GRBSN:W-score _{3s}	17.97	44.41	107.79	138.97	17.97	44.41	107.79	138.87
GRBSN:W-score _{5s}	17.50	34.79	101.38	137.94	17.50	34.79	101.38	137.94
GRBSN:W-score _o	19.04	35.26	103.94	137.59	19.04	35.26	103.94	137.59
GRBSN:MAD _p	9.96	89.97	326.67	159.82	9.96	89.97	326.67	159.82
GRBSN:MAD _o	13.66	81.63	272.29	152.19	48.86	5.79	9.03	79.56
GRBSN:MAD _{3s}	12.72	82.57	298.54	155.24	44.21	5.65	6.09	82.07
GRBSN:MAD _{5s}	14.60	78.73	286.46	151.16	42.33	4.37	4.01	79.68
GRBSN:MAD _o	14.94	78.60	351.79	156.30	15.07	76.45	34.13	109.25
GRBSN:MAD _o	9.62	90.31	340.71	156.74	44.41	5.25	5.95	81.91
FRGC v2	Sum Rule				Max Rule			

Method	Open-set Identification			Verification	Open-set Identification			Verification
	OSI-E (%)	max-DIR (%)	osi- Δ AUC	vr- Δ AUC	OSI-E (%)	max-DIR (%)	osi- Δ AUC	vr- Δ AUC
GRBSN:Z-score _p	0.44	99.56	94.59	98.88	0.30	99.71	92.10	95.96
GRBSN:Z-score _o	0.37	99.63	91.92	98.73	0.22	99.78	87.97	94.38
GRBSN:Z-score _{sz}	0.52	99.48	91.10	98.39	0.22	99.78	87.42	94.09
GRBSN:Z-score _{zz}	0.66	99.34	81.57	95.19	0.22	99.78	82.56	90.52
GRBSN:W-score _p	0.37	99.63	101.35	100.55	0.22	99.78	96.35	95.52
GRBSN:W-score _o	0.81	99.19	88.26	85.27	0.22	99.70	97.10	77.89
GRBSN:W-score _b	2.80	97.20	91.83	77.28	0.81	99.19	100.25	59.98
GRBSN:W-score _{sz}	2.66	97.34	60.97	77.51	1.11	98.89	36.59	60.03
GRBSN:W-score _{zz}	2.66	97.34	91.61	77.20	1.03	98.97	25.88	59.96
GRBSN:W-score _o	2.07	97.93	100.18	100.96	0.15	99.85	101.89	97.90
GRBSN:MAD _p	0.37	99.63	74.59	89.07	0.30	99.70	79.85	90.30
GRBSN:MAD _o	0.37	99.63	74.25	88.89	0.30	99.70	78.93	89.01
GRBSN:MAD _b	0.66	99.34	74.39	88.69	0.22	99.79	79.10	88.74
GRBSN:MAD _{sz}	0.66	99.34	62.50	84.03	0.22	99.79	65.36	84.50
GRBSN:MAD _{zz}	0.66	99.34	62.50	84.03	0.22	99.79	65.36	84.50
GRBSN:MAD _o	0.30	99.70	81.35	91.79	0.15	99.85	83.92	90.68

[0137] The OSI-E and max-DIR refer to absolute values, where for the latter the maximum DIR performance is reported. The osi- Δ AUC and vr- Δ AUC refer to the relative improvement of the raw scores performance, while the Sum and Max rules refer to the integration method employed. The relative experimental protocol is described in **Section II.4**.

TABLE II.3
Statistics for GRBSN Using Two Threshold

UHDB11		#probes $\geq t_i$	# Correct Estimations
t_1	GRBSN:Z-score	806	806
	GRBSN:W-score	1,408	1,009
	GRBSN:MAD	145	145
t_2	GRBSN:Z-score	1,363	1,278
	GRBSN:W-score	1,485	1,057
	GRBSN:MAD	1,257	1,154
FRGC v2		#probes $\geq t_i$	# Correct Estimations
t_1	GRBSN:Z-score	64	64
	GRBSN:W-score	1,938	1,304
	GRBSN:MAD	180	180
t_2	GRBSN:Z-score	1,266	1,233
	GRBSN:W-score	2,114	1,318
	GRBSN:MAD0	1,118	1,087

[0138] In this table, we provide statistics about the number of times that the gallery-based information was used for **GRBSN** when the two threshold values were employed in **Experiment II.3**. Information concerning the correct number of identity estimations is also provided.

[0139] For **UHDB11** discretized scores were obtained when the MAD score normalization and max

rule were used. Similarly, W-score produced discretized scores for **FRGC v2** for both rules. Therefore, the relevant results are provided but they are not taken under consideration in our analysis. For the optimal and pessimal conditions the *gallery*-based information was exploited for all probes. Across databases, the **GRBSN** under pessimal conditions outperforms **RBSN** in 16/35 cases, while under optimal conditions it outperforms **RBSN** in 31/35 cases. In 22/32 cases at least one of the t_1 or t_2 results in increased performance compared to **RBSN**. This evidence suggest that exploiting the gallery-based information can be beneficial.

[0140] For **UHDB11** t_2 yields better results compared to t_1 in 9/20 cases. When it comes to **FRGC v2** though t_2 yields better results compared to t_1 in all cases. The reason becomes clear by referring to **Table II.3**. The percentage of correct identity estimates for **FRGC v2** is higher for t_1 but for t_2 the *gallery*-based information is exploited $1,266 + 1,118 - 64 - 180 = 2,140$ more times. For **UHDB11** the percentage of correct identity estimates is significantly lower for t_2 and thus the additional information induces too much noise. The version of **GRBSN** based on our previous work outperforms the proposed approach for both thresholds 11/20 times for **UHDB11** and 10/14 times for **FRGC v2**. This is attributed to the fact that **FRGC v2** yields better rank-1 performance than **UHDB11** (see **Table II.2**). Hence, by always using the gallery-based information the additional information benefits the system. Finally, in 8/20 cases for **UHDB11** and in 12/16 cases for **FRGC v2** the performance of the system under pessimal conditions is better compared to when the two threshold values are used. At the same time, in 19/20 cases for **UHDB11** and in 11/12 cases for **FRGC v2** the performance of the system under optimal conditions is significantly better compared to all the other approaches. In summary, we conclude that while a correct identity estimate is important it remains quite robust to incorrect identity estimates. This is supported by the good performance of the previous version of **GRBSN** and the obtained results under pessimal conditions.

EXPERIMENT II.4

[0141] The objective of this experiment is to assess the performance of **ORBSN** for both Open-set Identification and Verification tasks using a single-sample gallery. We note that the gallery set in **UHDB11** is comprised of both 3D and 2D data, while the probe set included of 2D data only. Hence, it is not possible to incorporate the probes into the gallery and then apply the same method to compute the corresponding match scores. As a result, for the purposes of this experiment we used only **FRGC v2**. Specifically, we selected randomly a single sample from 350 subjects. The rest of the 3,657 samples obtained from the 466 subjects are used as probes. For the pessimal scenario, we used the same probes as in the optimal but we enforced incorrect identity estimates. Moreover, since the matrix G of this experiment does not produce match scores from different samples of the same subjects we reused the thresholds t_1 and t_2 obtained in **Experiment II.3**. Since a single-sample gallery

is available and a Leave-One-Out approach is adopted, we selected the probes to be incorporated into the gallery by normalizing the scores without implementing **RBSN** or **GRBSN**. The results of this experiment are summarized in **Table II.4**. We observed that t_2 yields better performance compared to t_1 for the previous version of **ORBSN** in 11/18 cases, while for the present version this is true in 12/18 cases. Although, in 12/18 cases we may obtain better performance in at least one of the two thresholds if the old version of **ORBSN** is used instead of the present one. By taking into consideration the increased performance obtained under the optimal scenario, we may conclude that this can be attributed to fact that the new version aggregates the errors. That is, in the new version incorrectly labeled samples are incorporated to $\mathbb{G}$ and they are used when: (i) a new probe is matched against the gallery, and (ii) the gallery versus gallery scores are re-computed. For the old version however, these probes are only used as part of the gallery-based information. In addition, we note that our framework is expected to not yield significant improvements for the database. This is better illustrated by **Figure 12** where the subsets $\mathbb{C}_r$ appear to be homogeneous. Hence, partitioning the scores does not benefit the score normalization. Even worse, it used smaller sets to compute the necessary estimates. In relation with **Figure 8**, it is evident why the obtained results on **UHDB11** are better. Indicatively, we note that in **Experiment II.2** the $\text{osi-}\Delta\text{AUC}$ under the optimal scenario is 693.03 for **UHDB11** while for **FRGC v2** it is only 340.71. Nonetheless, augmenting $\mathbb{G}$ by using correct identity estimations (*e.g.*, a user updates the gallery) the performance of the system may be significantly improved.

Time Complexity

[0142] We used a random probe from **FRGC v2** under the protocol defined in **Experiment II.1** and computed the time in seconds for Z-score, **RBSN**:Z-score and **GRBSN**:Z-score_b. The obtained values are 0.01 s, 0.13 s and 145.25 s, respectively. By exploiting two, four and eight scores for **GRBSN**:Z-score_b we obtain 71.21s, 40.70s and 31.90s, respectively. In a similar manner, we computed the time in seconds for Z-score by using a random probe from **FRGC v2** under the protocol defined in **Experiment II.4**. The time needed to normalize the scores is 0.01s. We provide the corresponding results for **ORBSN**:Z-score_o when exploiting two, four and eight scores. The obtained values are 142.44 s, 80.56 s and 62.21 s, respectively.

[0143] A summary of the results from **Experiment II.4** are set forth in **Table II.4**. The OSI-E and max-DIR refer to absolute values, where for the latter the maximum DIR performance is reported. The $\text{osi-}\Delta\text{AUC}$ and $\text{vr-}\Delta\text{AUC}$ refer to the relative improvement of the raw scores performance, while the Sum and Max rules refer to the integration method employed. The relative experimental protocol is described in **Section II.4**.

TABLE II.4

Summary of Results of Example II.4

FRGC v2	Sum Rule				Max Rule			
	Open-set Identification		Verification		Open-set Identification		Verification	
Method	OSI-E (%)	max-DIR (%)	osi- Δ AUC	vr- Δ AUC	OSI-E (%)	max-DIR (%)	osi- Δ AUC	vr- Δ AUC
Z-score _p	2.5	97.5	93.59	89.41	2.5	97.5	93.62	89.41
ORBSN:Z-score _p	1.43	98.57	106.70	103.52	1.10	98.90	91.00	101.44
ORBSN:Z-score _{ht2}	2.72	97.28	89.30	95.28	2.72	97.28	89.30	95.28
ORBSN:Z-score _{ht1}	2.50	97.50	93.73	89.52	2.50	97.50	93.70	89.52
ORBSN:Z-score _{t2}	2.31	97.69	59.57	87.81	2.94	97.03	29.92	75.90
ORBSN:Z-score _{t1}	2.64	97.36	83.62	87.66	3.08	96.92	93.92	89.40
ORBSN:Z-score _o	0.95	99.05	106.31	100.38	0.77	99.23	95.41	99.58
W-score _p	2.50	NaN	NaN	65.85	2.50	NaN	NaN	65.85
ORBSN:W-score _p	8.81	NaN	NaN	66.69	12.41	NaN	NaN	67.35
ORBSN:W-score _{ht2}	2.24	NaN	NaN	71.49	2.24	NaN	NaN	71.49
ORBSN:W-score _{ht1}	2.46	NaN	NaN	72.77	2.46	NaN	NaN	72.77
ORBSN:W-score _{t2}	11.75	NaN	NaN	80.83	28.06	NaN	NaN	54.94
ORBSN:W-score _{t1}	2.61	NaN	NaN	77.99	2.60	NaN	NaN	77.99
ORBSN:W-score _o	0.99	NaN	NaN	109.00	0.51	NaN	NaN	113.66
MAD _p	2.50	97.47	70.43	78.33	2.50	NaN	NaN	78.33
ORBSN:MAD _p	1.65	98.35	111.97	104.92	1.40	NaN	NaN	100.85
ORBSN:MAD _{ht2}	4.22	95.70	47.83	78.52	4.22	NaN	NaN	78.52
ORBSN:MAD _{ht1}	2.64	97.32	54.31	72.73	2.64	NaN	NaN	72.73
ORBSN:MAD _{t2}	4.59	95.30	54.94	81.61	10.65	NaN	NaN	64.67
ORBSN:MAD _{t1}	7.30	92.43	18.47	65.30	19.87	NaN	NaN	58.73
ORBSN:MAD _o	2.42	97.58	82.99	89.13	1.62	NaN	NaN	87.11

II.5. CONCLUSION

[0144] We have presented a rank-based score normalization framework that consists of three different algorithms. Unlike other approaches (e.g., [22], [23]), our first algorithm uses the rank of the scores for each gallery subject to partition the set of scores for a probe and normalizes each subset individually. The second algorithm exploits gallery-based information, while the third algorithm dynamically augments the gallery in an online fashion and can be employed to single-sample galleries. The experimental evaluation indicates that the use of our framework for unimodal systems may yield increased performance. Exploiting the gallery-based information by estimating the probe's identity appears to be robust. Furthermore, the online version of our framework appears to result in significantly better performance for single-sample galleries when the identity estimation is successful. Finally, according to the relevant statistical tests, the performance of our framework appears to improve as we increase the number of samples per subject. Also, it appears to yield increased match and non-match scores separation for each probe.

PART II REFERENCES OF THE INVENTION

[0145] The following references were cited in the application contain general background information used to support and explain certain aspects of the invention:

- [1] J. Fortuna, P. Sivakumaran, A. Ariyaceinia, and A. Malegaonkar, "Relative effectiveness of score normalisation methods in open-set speaker identification," in *Proc. The Speaker and Language Recognition Workshop*, Toledo, Spain, May 31 - June 3 2004.

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ILLUSTRATIVE METHOD SCHEMATICS

[0146] Referring now to **Figure 13**, a schematic operation of a procedure of **ORBSN** for expanding an **expanded gallery** based on a probe is shown. The procedure includes a **gallery** and a **probe**. If the **probe** meets certain criteria, then the **gallery** may be enhanced the probe to form the **expanded gallery**.

[0147] Referring now to **Figure 14**, a schematic operation of combining different probes to form a concatenated probe is shown. The operation is illustrated using three different probes of the same subject, a first probe **probe 1** comprising face data, a second probe **probe 2** comprising finger print data, and a third probe **probe 3** comprising speech data. The three probes, **probe 1**, **probe 2**, and **probe 3**, are then combined into a single probe, **probe 4**. The single probe **probe 4**, is then used as the probe in either **RBSN**, **GRBSN** and/or **ORBSN** procedures of this invention.

First Specific Embodiment

[0148] Referring now to **Figure 15**, an embodiment of a probe specific method, generally **1500**, is shown to include obtaining a probe **1502**. The method **1500** also includes a normalization type step **1504**, where the probe **1502** is subjected either to a standard normalization along a standard normalization path **STND** or to a **RBSN** normalization along a **RBSN** normalization path **RBSN**.

[0149] If the **STND** path is selected, the probe **1502** is normalized in a standard normalization step **1506**. Next, the standard normalized probe is subjected to an I/C conditional step **1508**. If integration is selected, then the method **1500** proceeds along an integration path **INT1** to an integration step **1510**, where the standard normalized probe is integrated. If combination is selected, then the method **1500** proceeds along a combination path **COMB1**, where the standard normalized probe is combined with a **RBSN** normalized probe in a combine step **1512**. If neither integration or combination is

selected, then the method **1500** proceeds to an output step **1599**, where results are outputted to a user. If no integration is selected, then the method **1500** forwards the probe directly to the combine step **1512**.

[0150] If the **RBSN** path is selected, the method **1500** includes a conditions step **1514**. If conditions are imposed, then the method **1500** proceeds along a **CON** path, where the conditions are applied in an impose conditions step **1516** and then forwarded to an **RBSN** normalization step **1518**. If no conditions are imposed, then the method **1500** proceeds directly to the **RBSN** normalization step **1518**. After **RBSN** normalization, the **RBSN** normalized probe is subjected to an I/C conditional step **1520**. If integration is selected, then the method **1500** proceeds along an integration path **INT2** to an integration step **1522**, where the **RBSN** normalized probe is integrated. If combination is selected, then the method **1500** proceeds along a combination path **COMB2**, where the **RBSN** normalized probe is combined with the standard normalized probe in the combine step **1512**. If neither integration or combination is selected, then the method **1500** proceeds to an output step **1599**.

[0151] Once the standard normalized probe and the **RBSN** normalized probe are combined in the combine step **1512**, the combined probe is subjected to an integrate conditional step **1524**. If integration is selected, then the combined probe is integrated in an integration step **1526**, and the results are forwarded to the output step **1599**. If integration is not selected, then the method **1500** proceeds directly to the output step **1599**.

[0152] Once the standard normalized probe is integrated in the integration step **1510** and the **RBSN** normalized probe is integrated in the integration step **1522**, the integrated probes are forwarded combination conditional step **1528**. If combination is selected, the integrated probes are combined in a combine step **1530**, and the results are forwarded to the output step **1599**. If combination is not selected, the results are sent directly to the output step **1599**.

Second Specific Embodiment

[0153] Referring now to **Figure 16**, an embodiment of a gallery specific method, generally **1600**, is shown to include a probe and a gallery **1602**. The method **1600** also includes a normalization type step **1604**, where the probe **1602** is subjected either to a standard normalization along a standard normalization path **STND** or to a **RBSN** normalization along a **RBSN** normalization path **RBSN**. In certain embodiments, the normalization type step **1604** may direct the normalization on a row-by-row basis so that each row may be separately normalized by the standard normalization procedure and/or by the **RBSN** normalization procedure.

[0154] If the **STND** path is selected, the probe **1602** is normalized in a standard normalization step **1606**. Next, the standard normalized probe is subjected to an I/C conditional step **1608**. If integration is selected, then the method **1600** proceeds along an integration path **INT1** to an integration step

1610, where the standard normalized probe is integrated. If combination is selected, then the method **1600** proceeds along a combination path **COMB1**, where the standard normalized probe is combined with a **RBSN** normalized probe in a combine step **1612**. If neither integration or combination is selected, then the method **1600** proceeds to an output step **1699**, where results are outputted to a user. If no integration is selected, then the method **1600** forwards the probe directly to the combine step **1612**.

[0155] If the **RBSN** path is selected, the method **1600** includes a conditions step **1614**. If conditions are imposed, then the method **1600** proceeds along a **CON** path, where the conditions are applied in an impose conditions step **1616** and then forwarded to an **RBSN** normalization step **1618**. If no conditions are imposed, then the method **1600** proceeds directly to the **RBSN** normalization step **1618**. After **RBSN** normalization, the **RBSN** normalized probe is subjected to an I/C conditional step **1620**. If integration is selected, then the method **1600** proceeds along an integration path **INT2** to an integration step **1622**, where the **RBSN** normalized probe is integrated. If combination is selected, then the method **1600** proceeds along a combination path **COMB2**, where the **RBSN** normalized probe is combined with the standard normalized probe in the combine step **1612**. If neither integration or combination is selected, then the method **1600** proceeds to an output step **1699**.

[0156] Once the standard normalized probe and the **RBSN** normalized probe are combined in the combine step **1612**, the combined probe is subjected to an integrate conditional step **1624**. If integration is selected, then the combined probe is integrated in an integration step **1626**, and the results are forwarded to the output step **1599**. If integration is not selected, then the method **1600** proceeds directly to the output step **1699**.

[0157] Once the standard normalized probe is integrated in the integration step **1610** and the **RBSN** normalized probe is integrated in the integration step **1622**, the integrated probes are forwarded combination conditional step **1628**. If combination is selected, the integrated probes are combined in a combine step **1630**, and the results are forwarded to the output step **1699**. If combination is not selected, the results are sent directly to the output step **1699**.

PROBE AND GALLERY SPECIFIC METHODS

[0158] Referring now to **Figure 17A-C**, an embodiment of a method, generally **1700**, is shown utilizing a probe **1702** and a gallery **1722**.

[0159] The method **1700** also includes a probe normalization type step **1704**, where the method **1700** proceeds along either to a standard normalization path **STND1**, a **RBSN** normalization path **RBSN1**, or directly to a integrate/combine step **1740**.

[0160] If the **STND1** path is selected, the probe **1702** is normalized in a standard normalization step **1706** to form a standard normalized probe (**NPS**) **1708**. If the **RBSN** path is selected, the method

1700 includes a conditions step **1710**. If conditions are imposed, then the method **1700** proceeds along a **CON1** path, where the conditions are applied in an impose conditions step **1712** and then forwarded to an **RBSN** normalization step **1714** to form a **RBSN** normalized probe (**RPS**) **1716**; otherwise the method **1700** proceed directly to the **RBSN** normalization step **1714**. If neither normalization procedure is selected, then the method proceed directly to the integrate/combine step **1740**.

[0161] The method **1700** also includes a gallery normalization type step **1724**, where the method **1700** proceeds along either to a standard normalization path **STND2** or a **RBSN** normalization path **RBSN2**. In certain embodiments, the normalization type step **1724** may direct the normalization on a row-by-row basis so that each row may be separately normalized by the standard normalization procedure or by the **RBSN** normalization procedure.

[0162] If the **STND2** path is selected, the gallery **1722** is normalized in a standard normalization step **1726** to form a standard normalized probe (**NGS**) **1728**. If the **RBSN** path is selected, the method **1700** includes a conditions step **1730**. If conditions are imposed, then the method **1700** proceeds along a **CON2** path, where the conditions are applied in an impose conditions step **1732** and then forwarded to an **RBSN** normalization step **1734** to form a **RBSN** normalized probe (**RGS**) **1736**.

[0163] Once **NPS**, **RPS**, **NGS**, and **RGS** have been generated, they are passed onto an integrate/combine conditions step **1740**. If neither normalization procedure is selected, then the method proceed directly to the integrate/combine step **1740**.

First Part of Gallery Specific Methods

[0164] Looking at **Figure 17A**, the integrate/combine conditions step **1740** generates nine paths **P0**, **P1**, **P2**, **P3**, **P4**, **P5**, **P6**, **P7**, and **P8**, where path **P0** directs the results directly to an output step **1799**.

NPS/RPS

[0165] If the method **1700** proceeds along the path **P1**, **NPS** and **RPS** are combined in a combination step **1742a**. After combination, the results are forwarded to an integration conditional step **1744a**. If integration is selected, then the results are integrated in an integration step **1746a** and then the results are forwarded to the output step **1799**; if not, the results are forwarded directly to the output step **1799**.

[0166] If the method **1700** proceeds along the path **P2**, **NPS** and **RPS** are integrated in integration steps **1748a&b**. After integration, the method **1700** proceeds to a combination conditional step **1750a**. If the combination is select, then the method **1700** proceeds to a combine step **1752a**, and then to the output step **1799**; otherwise, the results proceed directly to the output step **1799**.

NPS/RGS

[0167] If the method **1700** proceeds along the path **P3**, **NPS** and **RGS** are combined in a combination

step **1742b**. After combination, the results are forwarded to an integration conditional step **1744b**. If integration is selected, then the results are integrated in an integration step **1746b**, and then the results are forwarded to the output step **1799**; if not, the results are forwarded directly to the output step **1799**.

[0168] If the method **1700** proceeds along the path **P4**, **NPS** and **RGS** are integrated in integration steps **1748c&d**. After integration, the method **1700** proceeds to a combination conditional step **1750b**. If the combination is select, then the method **1700** proceeds to a combine step **1752b**, and then to the output step **1799**; otherwise, the results proceed directly to the output step **1799**.

RPS/NGS

[0169] If the method **1700** proceeds along the path **P5**, **RPS** and **NGS** are combined in a combination step **1742c**. After combination, the results are forwarded to an integration conditional step **1744c**. If integration is selected, then the results are integrated in an integration step **1746c**, and then the results are forwarded to the output step **1799**; if not, the results are forwarded directly to the output step **1799**.

[0170] If the method **1700** proceeds along the path **P6**, **NPS** and **RGS** are integrated in integration steps **1748e&f**. After integration, the method **1700** proceeds to a combination conditional step **1750c**. If the combination is select, then the method **1700** proceeds to a combine step **1752c**, and then to the output step **1799**; otherwise, the results proceed directly to the output step **1799**.

RGS/NGS

[0171] If the method **1700** proceeds along the path **P7**, **RPS** and **RGS** are combined in a combination step **1742d**. After combination, the results are forwarded to an integration conditional step **1744d**. If integration is selected, then the results are integrated in an integration step **1746d**, and then the results are forwarded to the output step **1799**; if not, the results are forwarded directly to the output step **1799**.

[0172] If the method **1700** proceeds along the path **P8**, **NPS** and **RGS** are integrated in integration steps **1748g&h**. After integration, the method **1700** proceeds to a combination conditional step **1750d**. If the combination is select, then the method **1700** proceeds to a combine step **1752d**, and then to the output step **1799**; otherwise, the results proceed directly to the output step **1799**.

Second Part of Gallery Specific Methods

[0173] Looking at **Figure 17B**, the method integrate/combine conditions step **1740**, generates eight paths **P0**, **P8**, **P9**, **P10**, **P11**, **P12**, **P13**, **P14**, and **P15**.

NPS/RPS/NGS

[0174] If the method **1700** proceeds along the path **P9**, **NPS**, **RPS**, and **NGS** are combined in a combination step **1760a**. After combination, the method **1700** proceeds to an integrate conditional

step **1762a**. If integration is selected, then the results are integrated in an integration step **1764a**, and then the results are forwarded to the output step **1799**; otherwise, the results are forwarded directly to the output step **1799**.

[0175] If the method **1700** proceeds along the path **P10**, **NPS**, **RPS**, and **NGS** are integrated in integration steps **1766a-c**. After integration, the method **1700** proceeds to a combination conditional step **1768a**. If combination is selected, the method **1700** proceeds to a combine step **1770a**, and then to the output step **1799**; otherwise the results proceed directly to the output step **1799**.

NPS/RPS/RGS

[0176] If the method **1700** proceeds along the path **P11**, **NPS**, **RPS**, and **RGS** are combined in a combination step **1760b**. After combination, the method **1700** proceeds to an integrate conditional step **1762b**. If integration is selected, then the results are integrated in an integration step **1764b**, and then the results are forwarded to the output step **1799**; otherwise, the results are forwarded directly to the output step **1799**.

[0177] If the method **1700** proceeds along the path **P12**, **NPS**, **RPS**, and **RGS** are integrated in integration steps **1766d-f**. After integration, the method **1700** proceeds to a combination conditional step **1768b**. If combination is selected, the method **1700** proceeds to a combine step **1770b**, and then to the output step **1799**; otherwise the results proceed directly to the output step **1799**.

NPS/NGS/RGS

[0178] If the method **1700** proceeds along the path **P13**, **NPS**, **NGS**, and **RGS** are combined in a combination step **1760c**. After combination, the method **1700** proceeds to an integrate conditional step **1762c**. If integration is selected, then the results are integrated in an integration step **1764c**, and then the results are forwarded to the output step **1799**; otherwise, the results are forwarded directly to the output step **1799**.

[0179] If the method **1700** proceeds along the path **P14**, **NPS**, **NGS**, and **RGS** are integrated in integration steps **1766g-i**. After integration, the method **1700** proceeds to a combination conditional step **1768c**. If combination is selected, the method **1700** proceeds to a combine step **1770c**, and then to the output step **1799**; otherwise the results proceed directly to the output step **1799**.

RPS/NGS/RGS

[0180] If the method **1700** proceeds along the path **P15**, **RPS**, **NGS**, and **RGS** are combined in a combination step **1760d**. After combination, the method **1700** proceeds to an integrate conditional step **1762d**. If integration is selected, then the results are integrated in an integration step **1764d**, and then the results are forwarded to the output step **1799**; otherwise, the results are forwarded directly to the output step **1799**.

[0181] If the method **1700** proceeds along the path **P16**, **RPS**, **NGS**, and **RGS** are integrated in

integration steps **1766j-l**. After integration, the method **1700** proceeds to a combination conditional step **1768d**. If combination is selected, the method **1700** proceeds to a combine step **1770d**, and then to the output step **1799**; otherwise the results proceed directly to the output step **1799**.

Third Part of Gallery Specific Methods

[0182] Looking at **Figure 17C**, the method integrate/combine conditions step **1740**, generates eight paths **P0**, **P17** and **P18**.

NPS/RPS/NGS/RGS

[0183] If the method **1700** proceeds along the path **P17**, **NPS**, **RPS**, **NGS**, and **RGS** are combined in a combination step **1780**. After combination, the method **1700** proceeds to an integration conditional step **1782**. If integration is selected, the method **1700** proceeds to an integration step **1784**, and then the results proceed to the output step **1799**; otherwise the results proceed directly to the output step **1799**.

[0184] If the method **1700** proceeds along the path **P18**, **NPS**, **RPS**, **NGS**, and **RGS** are integrated in integration steps **1786a-d**. After integration, the method **1700** proceeds to combination conditional steps **1788a-d**. If combination is selected, the method **1700** proceeds to a combination step **1790**, and then the results proceed to the output step **1799**; otherwise the results proceed directly to the output step **1799**.

GENERALIZED METHODS USING NORMALIZATION AND INTEGRATION

[0185] Referring now to **Figure 18**, another embodiment of a probe specific and gallery specific method, generally **1800**, is shown to include a probe **1802** and a gallery **1842**.

[0186] The method **1800** includes a probe normalization type step **1804**, where the method **1800** proceeds along either a standard normalization path **STND1** or a **RBSN** normalization path **RBSN1**.

[0187] If the **STND1** path is selected, the probe **1802** is normalized in a standard normalization step **1806** to form a standard normalized probe (**NPS**) **1808**. The method **1800** also includes an integrate step **1810** to form an integrated standard normalized probe (**INPS**) **1812**.

[0188] If the **RBSN1** path is selected, the method **1800** includes a conditions step **1814**. If conditions are imposed, then the method **1800** proceeds along a **CON1** path, where the conditions are applied in an impose conditions step **1816** and then forwarded to an **RBSN** normalization step **1818** to form a **RBSN** normalized probe (**RPS**) **1820**. The method **1800** also includes an integrate step **1822** to form an integrated **RBSN** normalized probe (**IRPS**) **1824**.

[0189] The method **1800** also includes a gallery normalization type step **1844**, where the method **1800** proceeds along either to a standard normalization path **STND2** or a **RBSN** normalization path **RBSN2**. In certain embodiments, the normalization type step **1844** may direct the normalization on a row-by-row basis so that each row may be separately normalized by the standard normalization

procedure or by the **RBSN** normalization procedure.

[0190] If the **STND2** path is selected, the gallery **1842** is normalized in a standard normalization step **1846** to form a standard normalized gallery (**NGS**) **1848**. The method **1800** also includes an integrate step **1850** to form an integrated standard normalized probe (**INGS**) **1852**.

[0191] If the **RBSN** path is selected, the method **1800** includes a conditions step **1854**. If conditions are imposed, then the method **1800** proceeds along a **CON2** path, where the conditions are applied in an impose conditions step **1856** and then forwarded to an **RBSN** normalization step **1858** to form a **RBSN** normalized gallery (**RGS**) **1860**. The method **1800** also includes an integrate step **1862** to form an integrated **RBSN** normalized gallery (**IRGS**) **1864**.

[0192] Once **NPS**, **INPS**, **RPS**, **IRPS**, **NGS**, **INGS**, **RGS**, and **IRGS** have been generated, they are passed onto a combine and/or integration conditions step **1870**, where any combination and/or integration (types of fusing) including at least one of the group consisting of **RPS**, **RGS**, **IRPS**, and **IRGS**.

[0193] All references cited herein are incorporated by reference. Although the invention has been disclosed with reference to specific embodiments, from reading this description, skilled artisan will appreciate changes and modifications may be made that do not depart from the scope and spirit of the invention as described above and claimed hereafter.

CLAIMS

We Claim:

1. A method for processing measures comprising the steps of:
obtaining a test sample,
obtaining a set of indexed samples,
comparing the test sample to each, some, or all of the indexed samples to produce first measures,
computing first ranks for the first measures within each index,
forming first subsets of all or any combination of current measures, where each first subset includes current measures of the same first rank, where the current measures for this step comprise the first measures,
processing the current measures within each first subset that satisfy one condition or a plurality of conditions to form processed current measures, where the processing comprises one transformation or a plurality of transformations of the current measures, and
outputting the current measures and the processed current measures.

2. The method claim 1, further comprising the step of:
prior to the forming step, pre-processing the first measures to form first pre-processed measures, where the pre-processing comprises one transformation or a plurality of transformations of the first measures,
fusing none, some, or all of the first measures, the first pre-processed measures, and/or the measures within each set to form first fused measures,
performing the remaining steps of claim 1 using none, some, all, or sets of the current measures independently, where the current measures comprise the first measures, the first pre-processed measures, the first fused measures, or any combination thereof and
fusing none, some or all of the first measures, the first pre-processed measures, the first fused measures, the processed current measures, and the current measures to form second fused measures.

3. The method of claim 1, further comprising the steps of:
prior to the forming step, comparing the indexed samples to each other to produce second measures identified by each pair of indexed samples compared,
assigning a second index to the first measures,
creating a set for each indexed sample, where each set includes the first measure and the second measures for that indexed sample,
computing second ranks for each measure within each of the sets based on the second index

of the first measure and the second index of the second measures, where the second index of the second measures corresponds to the index of the samples used to produce the second measures of that set,

forming second subsets for each set, where each subset includes second current measures of the same second rank, where the second current measures comprise the first measures and the second measures,

processing the measures within each second subset that satisfy one condition or a plurality of conditions to form second processed measures, where the processing comprises a one or a plurality of transformation of the measures, and

performing the remaining steps of claim 1, using none, some, all, or sets of the current measures independently, where the current measures comprise the first measures, the second measures, the second processed measures, or any combination thereof.

4. The method of claim 3, further comprising the steps of:

prior to the forming step of claim 3, pre-processing the first measures to form first pre-processed measures, where the pre-processing comprises one transformation or a plurality of transformations of the first measures,

pre-processing the second measures to form second pre-processed measures, where the pre-processing comprises one transformation or a plurality of transformations of the second measures,

fusing (a) none, some, or all of the first measures and the first pre-processed measures to form first fused measures, (b) none, some, or all of the second measures and the second pre-processed measures to form second fused measures, or (c) none, some, or all of the first measures, the first pre-processed measures, the second measures and the second pre-processed measures to form mixed fused measures,

performing the remaining steps of claim 3, using none, some, all, or sets of the current measures independently, where the second current measures comprise the first measures, the first pre-processed measures, the first fused measures, the second measures, the second pre-processed measures, the second fused measures, or any combination thereof, and

fusing none, some or all of the first measures, the first pre-processed measures, the first fused measures, the second measures, the second pre-processed measures, and the second fused measures to form third fused measures.

5. The method of claim 3, further comprising the step of:

ignoring the second measures that compare the same sample within the indexed samples, or replacing the second measures that compare the same sample within the indexed samples with

4 a new value.

1 6. The method of claim 4, further comprising the step of:
2 ignoring the second measures that compare the same sample within the indexed samples, or
3 replacing the second measures that compare the same sample within the indexed samples with
4 a new value.

1 7. The method of claim 3, further comprising the step of:
2 assigning a new second index to the first measures, and
3 retaining none, some, or all of the first measures as second measures of the formed sets if one
4 condition or a plurality of conditions are satisfied.

1 8. The methods of claims 3, further comprising the step of:
2 assigning an index to the test sample, and
3 incorporating the indexed test sample to the set of indexed samples before or after
4 implementing the steps of claim 3, if one condition or a plurality of conditions are satisfied.

1 9. The method of claim 4, further comprising the step of:
2 assigning a new second index to the first measures, and
3 retaining none, some, or all of the first measures as second measures of the formed sets if one
4 condition or a plurality of conditions are satisfied.

1 10. The methods of claims 4, further comprising the step of:
2 assigning an index to the test sample, and
3 incorporating the indexed test sample to the set of indexed samples before or after
4 implementing the steps of claim 3, if one condition or a plurality of conditions are satisfied.

1 11. The method of claim 5, further comprising the step of:
2 assigning a new second index to the first measures, and
3 retaining none, some, or all of the first measures as second measures of the formed sets if one
4 condition or a plurality of conditions are satisfied.

1 12. The methods of claims 5, further comprising the step of:
2 assigning an index to the test sample, and
3 incorporating the indexed test sample to the set of indexed samples before or after

implementing the steps of claim 3, if one condition or a plurality of conditions are satisfied.

13. The method of claim 6, further comprising the step of:

assigning a new second index to the first measures, and

retaining none, some, or all of the first measures as second measures of the formed sets if one condition or a plurality of conditions are satisfied.

14. The methods of claims 6, further comprising the step of:

assigning an index to the test sample, and

incorporating the indexed test sample to the set of indexed samples before or after implementing the steps of claim 3, if one condition or a plurality of conditions are satisfied.

15. A method for processing measures comprising the steps of:

obtaining a multi-modal test sample, where the test multi-modal sample comprises test sample data from multiple sources,

obtaining multi-modal indexed samples, and

comparing the multi-modal test sample to each, some, or all of the multi-modal indexed samples to produce first measures.

16. The method claim 15, further comprising the steps of:

computing first ranks for the first measures within each index,

forming first subsets of all or any combination of current measures, where each first subset includes current measures of the same first rank, where the current measures for this step comprise the first measures,

processing the current measures within each first subset that satisfy one condition or a plurality of conditions to form processed current measures, where the processing comprises one transformation or a plurality of transformations of the current measures, and

outputting the current measures and the processed current measures.

17. The method claim 16, further comprising the steps of:

prior to the forming step, pre-processing the first measures to form first pre-processed measures, where the pre-processing comprises one transformation or a plurality of transformations of the first measures,

fusing none, some, or all of the first measures, the first pre-processed measures, and/or the measures within each set to form first fused measures,

performing the remaining steps of claim 16 using none, some, all, or sets of the current measures independently, where the current measures comprise the first measures, the first pre-processed measures, the first fused measures, or any combination thereof and

fusing none, some or all of the first measures, the first pre-processed measures, the first fused measures, the processed current measures, and/or the measures within each set to form second fused measures.

18. The method of claim 16, further comprising the steps of:

prior to the forming step, comparing the indexed samples to each other to produce second measures identified by each pair of indexed samples compared,

assigning a second index to the first measures,

creating a set for each indexed sample, where each set includes the first measure and the second measures for that indexed sample,

computing second ranks for each measure within each of the sets based on the second index of the first measure and the second index of the second measures, where the second index of the second measures corresponds to the index of the samples used to produce the second measures of that set,

forming second subsets for each set, where each subset includes second current measures of the same second rank, where the second current measures comprise the first measures and the second measures, and

processing the measures within each second subset that satisfy one condition or a plurality of conditions to form second processed measures, where the processing comprises a one or a plurality of transformation of the measures, and

performing the remaining steps of claim 1, where the current measures comprise the first measures, the second measures, the second processed measures, or any combination thereof.

19. The method of claim 18, further comprising the steps of:

prior to the forming step of claim 18, pre-processing the first measures to form first pre-processed measures, where the pre-processing comprises one transformation or a plurality of transformations of the first measures,

pre-processing the second measures to form second pre-processed measures, where the pre-processing comprises one transformation or a plurality of transformations of the second measures,

fusing (a) none, some, or all of the first measures and the first pre-processed measures to form first fused measures, (b) none, some, or all of the second measures and the second pre-processed measures to form second fused measures, or (c) none, some, or all of the first measures, the first pre-

processed measures, the second measures and the second pre-processed measures to form mixed fused measures,

performing the remaining steps of claim 18 using none, some, all, or sets of the current measures independently, where the second current measures comprise the first measures, the first pre-processed measures, the first fused measures, the second measures, the second pre-processed measures, the second fused measures, or any combination thereof, and

fusing none, some or all of the first measures, the first pre-processed measures, the first fused measures, the second measures, the second pre-processed measures, the second fused measures, and/or the measures within each set to form third fused measures.

20. The method of claim 18, further comprising the steps of:

ignoring the second measures that compare the same sample within the indexed samples, or replacing the second measures that compare the same sample within the indexed samples with a new value.

21. The method of claim 19, further comprising the steps of:

ignoring the second measures that compare the same sample within the indexed samples, or replacing the second measures that compare the same sample within the indexed samples with a new value.

22. The method of claim 18, further comprising the steps of:

assigning a new second index to the first measures, and retaining none, some, or all of the first measures as second measures of the formed sets if one condition or a plurality of conditions are satisfied.

23. The methods of claims 18, further comprising the steps of:

assigning an index to the test sample, and incorporating the indexed test sample to the set of indexed samples before or after implementing the steps of claim 18, if one condition or a plurality of conditions are satisfied.

24. The method of claim 19, further comprising the steps of:

assigning a new second index to the first measures, and retaining none, some, or all of the first measures as second measures of the formed sets if one condition or a plurality of conditions are satisfied.

1 25. The methods of claims 19, further comprising the steps of:
2 assigning an index to the test sample, and
3 incorporating the indexed test sample to the set of indexed samples before or after
4 implementing the steps of claim 18, if one condition or a plurality of conditions are satisfied.

1 26. The method of claim 20, further comprising the steps of:
2 assigning a new second index to the first measures,
3 retaining none, some, or all of the first measures as second measures of the formed sets if one
4 condition or a plurality of conditions are satisfied.

1 27. The methods of claims 20, further comprising the steps of:
2 assigning an index to the test sample, and
3 incorporating the indexed test sample to the set of indexed samples before or after
4 implementing the steps of claim 18, if one condition or a plurality of conditions are satisfied.

1 28. The method of claim 21, further comprising the steps of:
2 assigning a new second index to the first measures,
3 retaining none, some, or all of the first measures as second measures of the formed sets if one
4 condition or a plurality of conditions are satisfied.

1 29. The methods of claims 21, further comprising the steps of:
2 assigning an index to the test sample, and
3 incorporating the indexed test sample to the set of indexed samples before or after
4 implementing the steps of claim 18, if one condition or a plurality of conditions are satisfied.

RBSN: Partition the scores for a given probe in a rank-based manner and normalize each resulting subset independently.

	Biometric Samples	Probe	Rank
Gallery	X_1	$S_{X1}=0.7$	2
	X_2	$S_{X2}=0.8$	1
	X_3	$S_{X3}=0.6$	3
	Y_1	$S_{Y1}=0.4$	1
	Y_2	$S_{Y2}=0.3$	2
	Z_1	$S_{Z1}=0.2$	2
	Z_2	$S_{Z2}=0.1$	3
	Z_3	$S_{Z3}=0.7$	1

1. Compute similarity scores: S_{wi}
2. Compute the ranks for each gallery
3. Create the rank-based subsets:
 $C_r = \{r^{\text{th}} \text{ ranked scores}\}$
4. Normalize each subset C_r independently

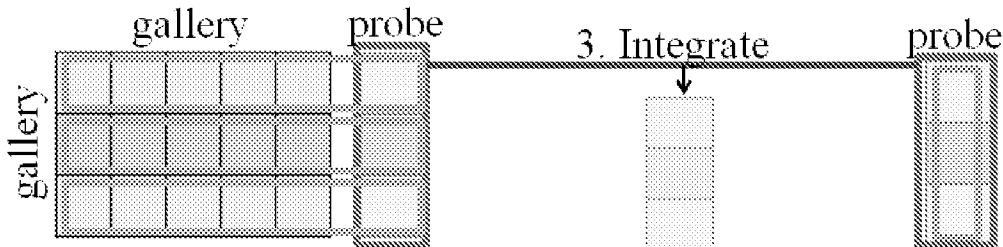
$$C_1 = \{S_{X2}, S_{Y1}, S_{Z3}\} = \{0.8, 0.4, 0.7\}$$

$$C_2 = \{S_{X1}, S_{Y2}, S_{Z1}\} = \{0.7, 0.3, 0.2\}$$

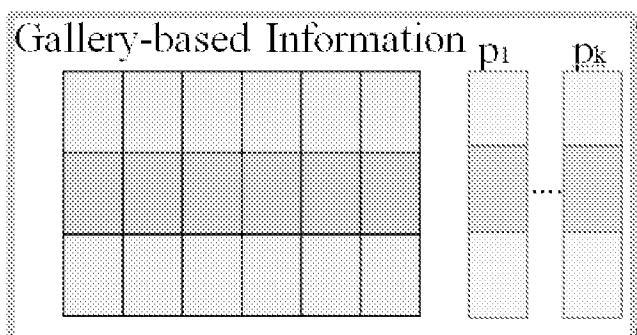
$$C_3 = \{S_{X3}, S_{Z2}\} = \{0.6, 0.1\}$$

GRBSN: Exploit gallery-based information to normalize scores using two sources of information.

1. Normalize each row using RBSN
2. Normalize column using RBSN



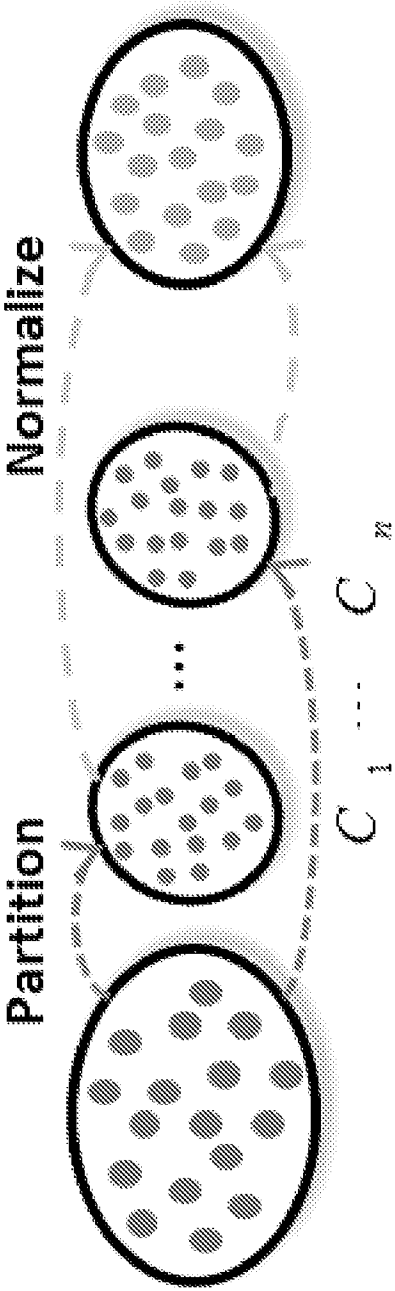
ORBSN : Update the information used for score normalization in an *online* fashion, when more than one probes are available.



1. Each time a probe is found to be part of the gallery, use its biometric sample to augment the external information.
2. Apply GRBSN to new probes, by using the augmented external information.

FIG. 1A

Partition the similarity scores for a single probe, and then normalizes each resulting subset independently (RBSN)



C_j contains the j^{th} biggest score from each gallery subject

FIG. 1B

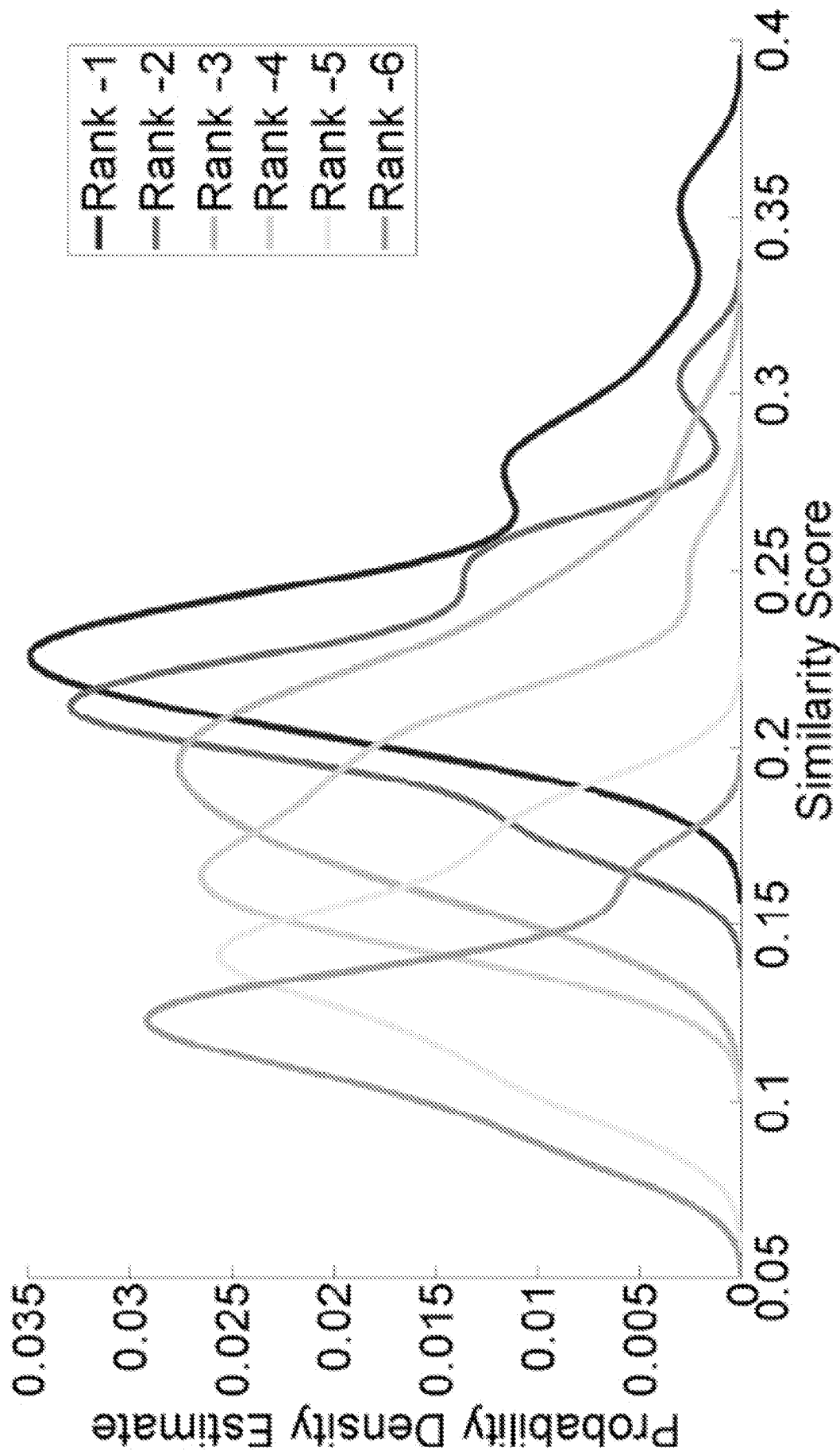


FIG. 2

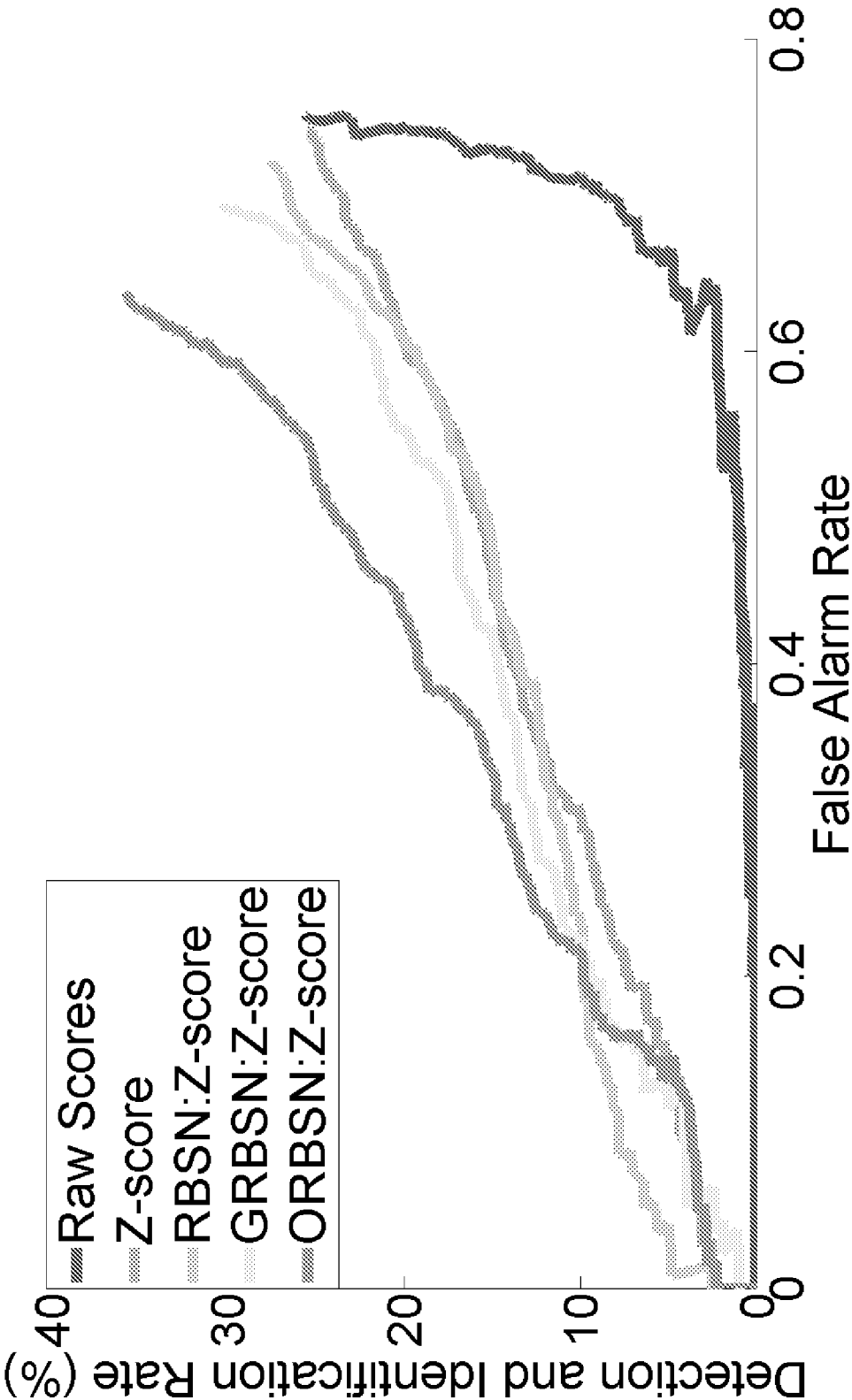


FIG. 3

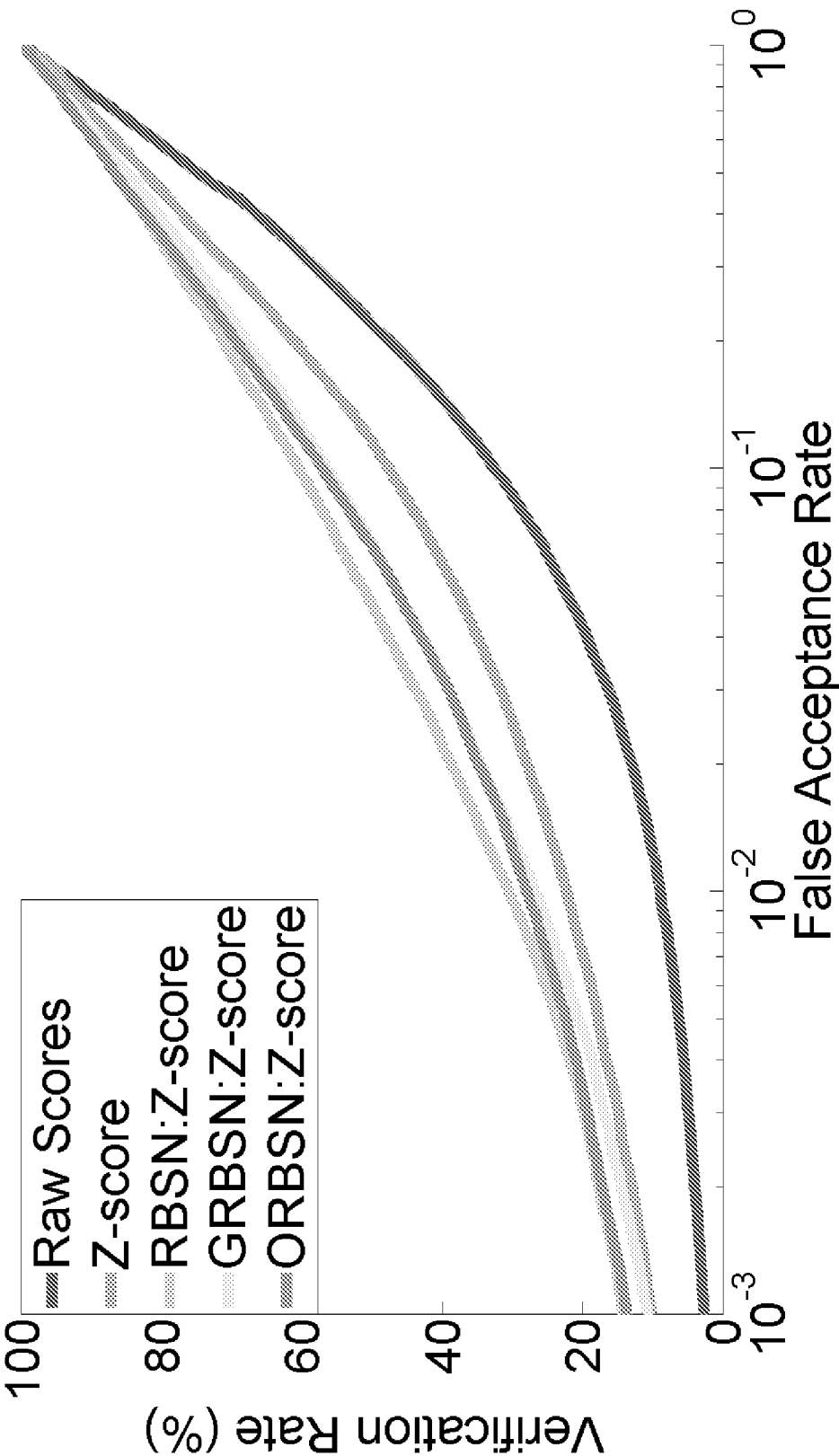


FIG. 4

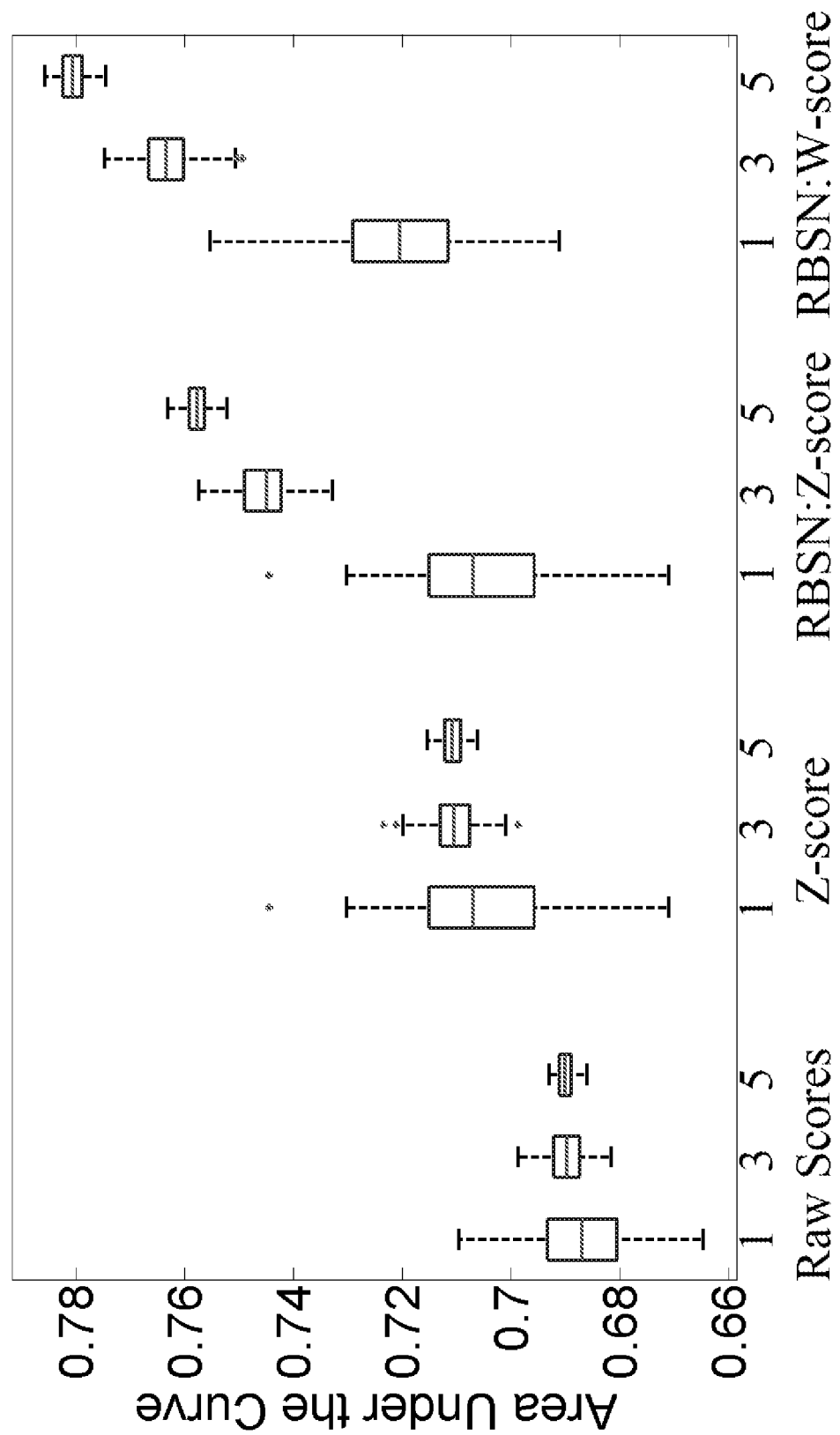


FIG. 5

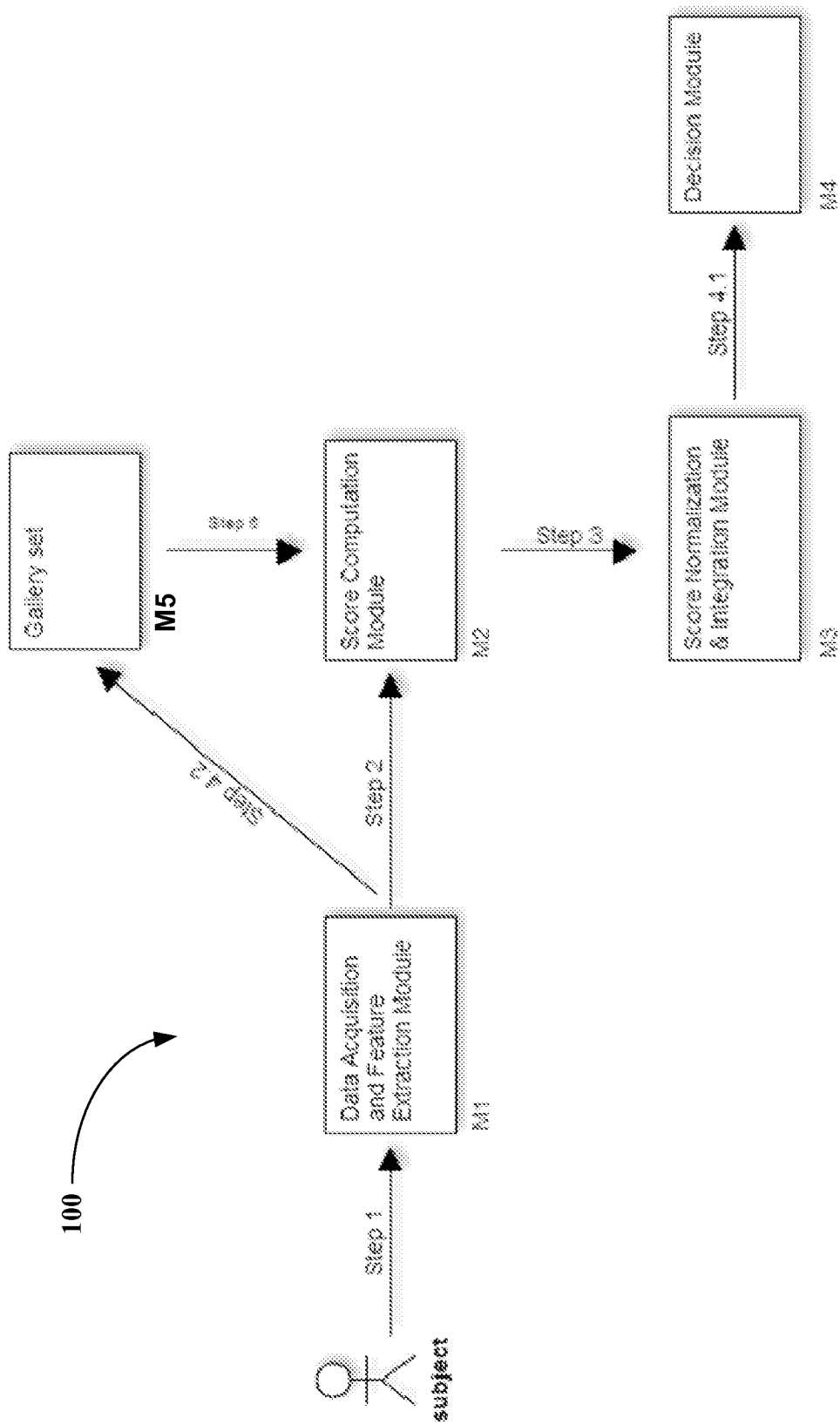


FIG. 6

RBSN: Partition the scores for a given probe and normalize each resulting subset independently.

	Biometric Samples	Probe	Rank
Gallery	X_1	$S_{X1}=0.7$	2
	X_2	$S_{X2}=0.8$	1
	X_3	$S_{X3}=0.6$	3
	Y_1	$S_{Y1}=0.4$	1
	Y_2	$S_{Y2}=0.3$	2
	Z_1	$S_{Z1}=0.2$	2
	Z_2	$S_{Z2}=0.1$	3
	Z_3	$S_{Z3}=0.7$	1

1. Compute the rank of the scores for each gallery subject.
2. Create the rank-based subsets:
 $C_r = \{r^{\text{th}} \text{ ranked scores}\}.$
3. Normalize each subset independently.

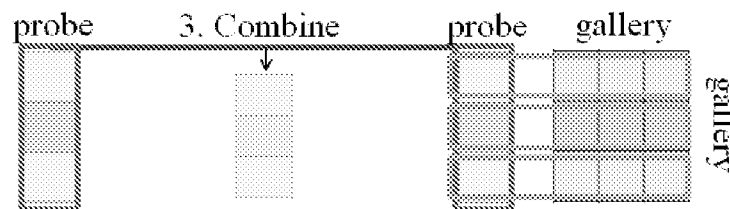
$$C_1 = \{S_{X2}, S_{Y1}, S_{Z3}\} = \{0.8, 0.4, 0.7\}$$

$$C_2 = \{S_{X1}, S_{Y2}, S_{Z1}\} = \{0.7, 0.3, 0.2\}$$

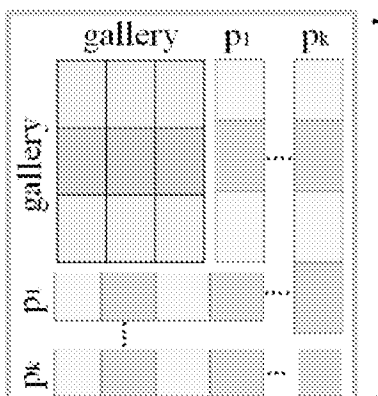
$$C_3 = \{S_{X3}, S_{Z2}\} = \{0.6, 0.1\}$$

GRBSN: Exploit gallery-based information to normalize scores using two sources of information.

1. Normalize column using RBSN.
2. If confident concerning the estimated identity normalize each row using RBSN.



ORBSN: Update the information used for score normalization in an *online* fashion when more than one probes are available.



1. Each time a probe is found to be part of the gallery use its biometric sample to augment the gallery set.
2. Re-compute the gallery versus gallery similarity scores.
3. Apply GRBSN for new probes using the enhanced gallery information.

FIG. 7

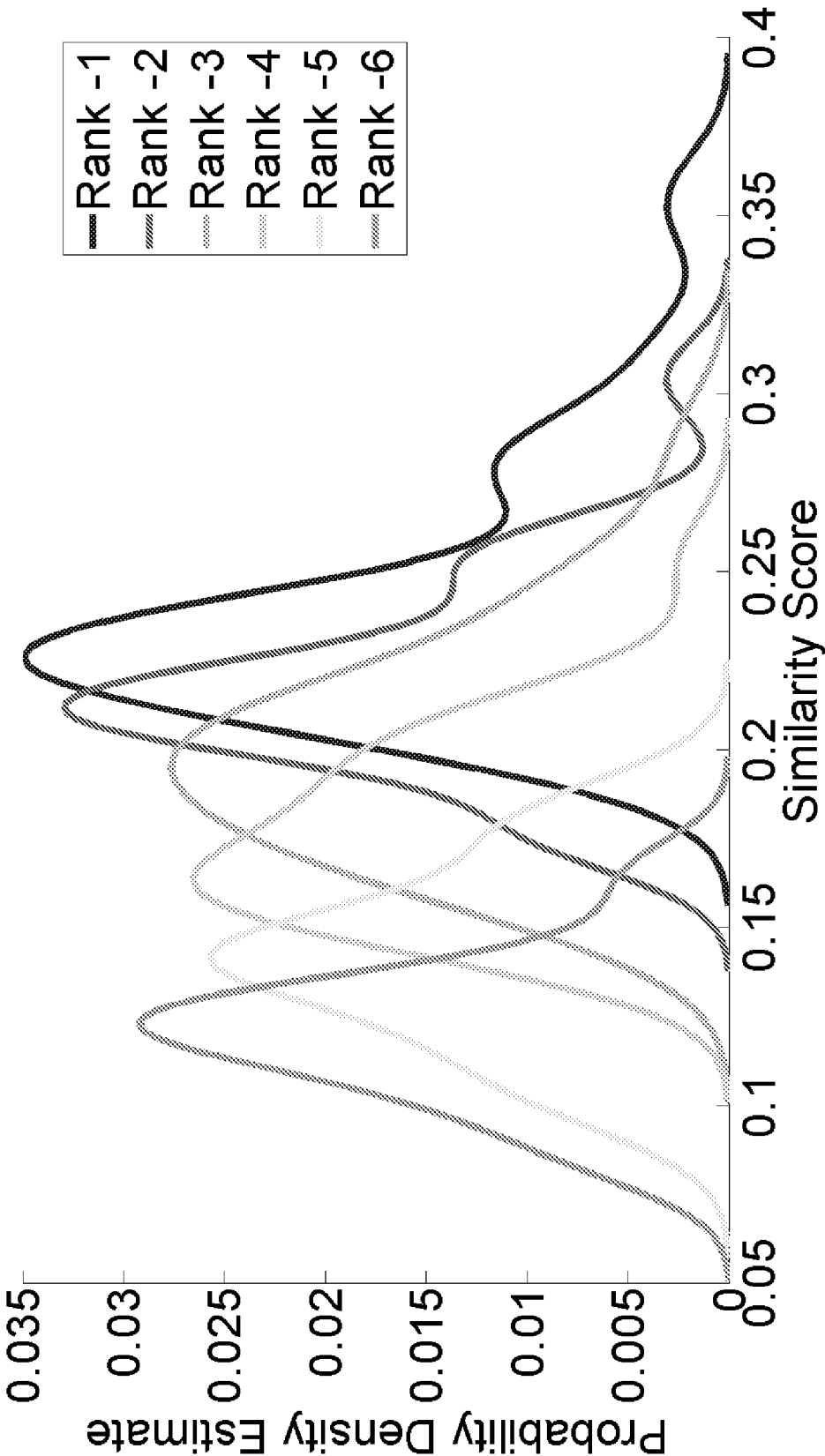


FIG. 8

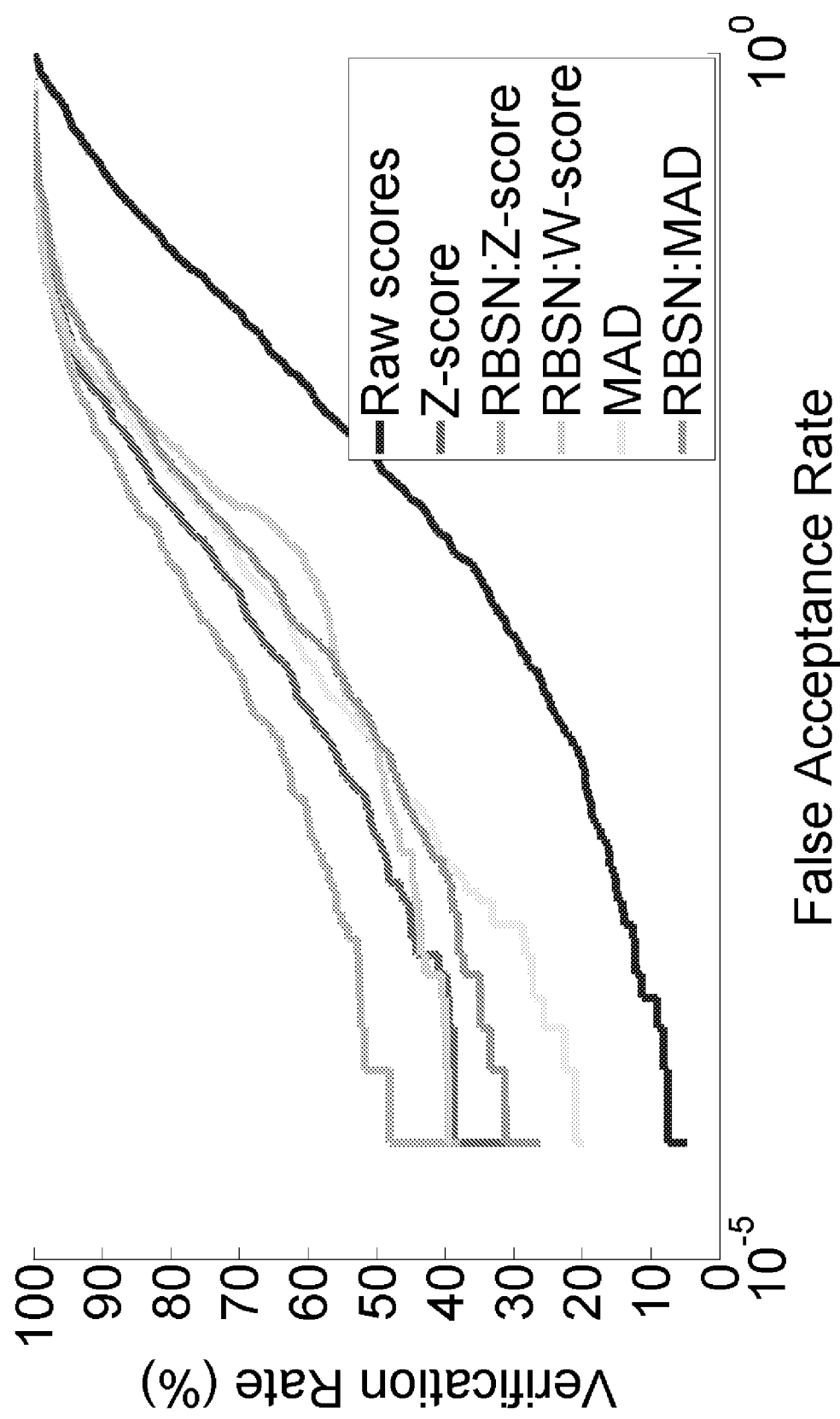


FIG. 9

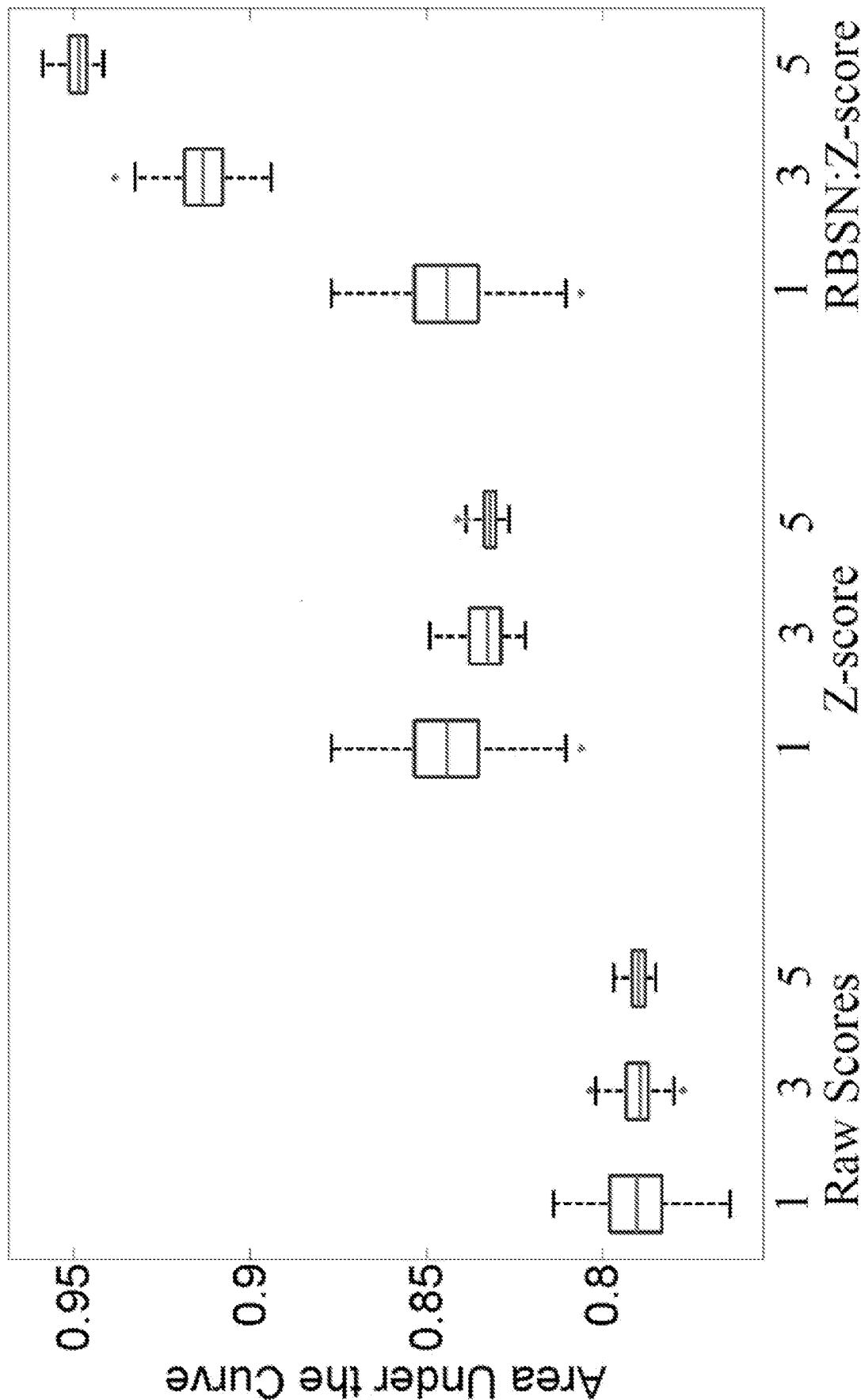


FIG. 10

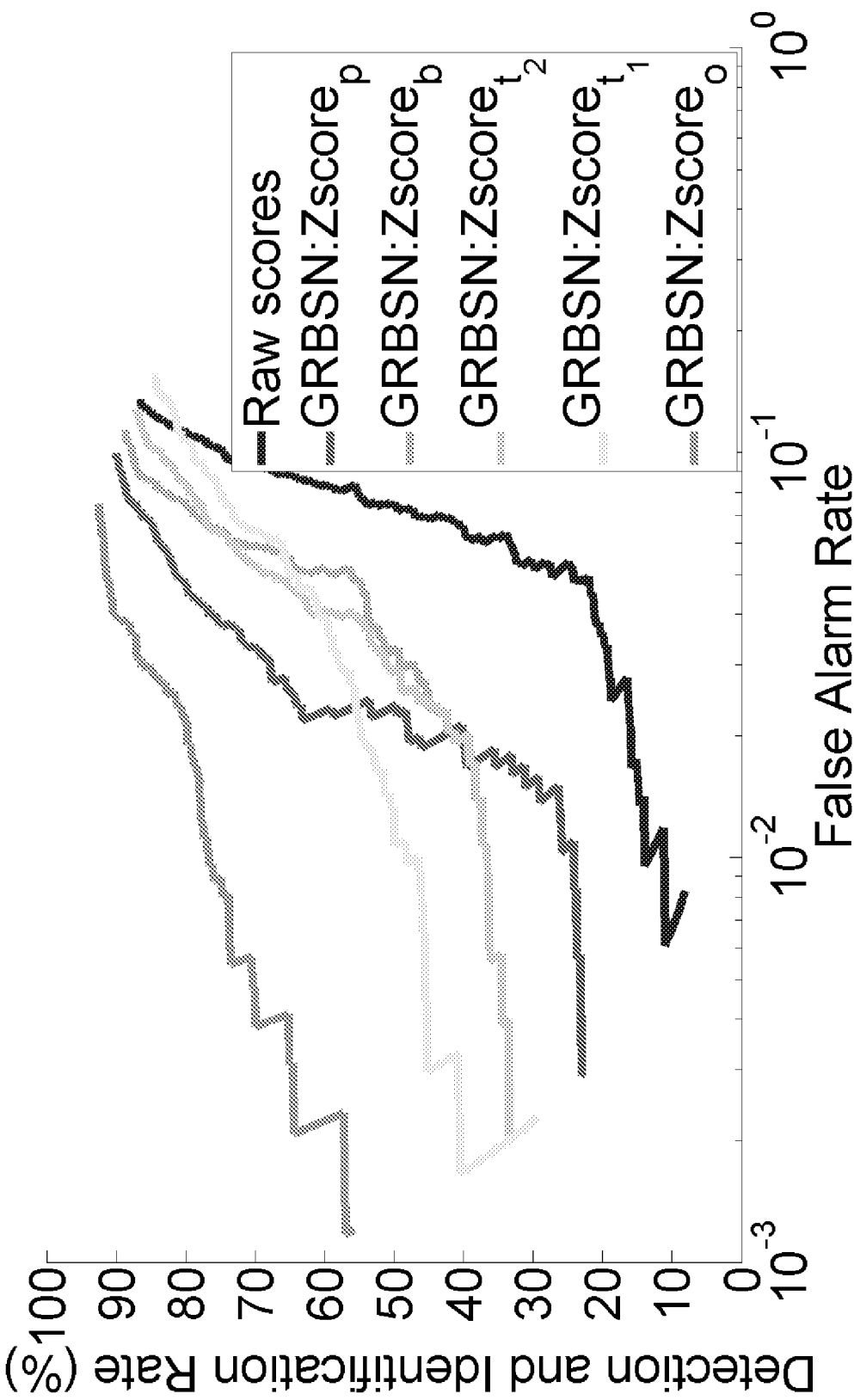


FIG. 11

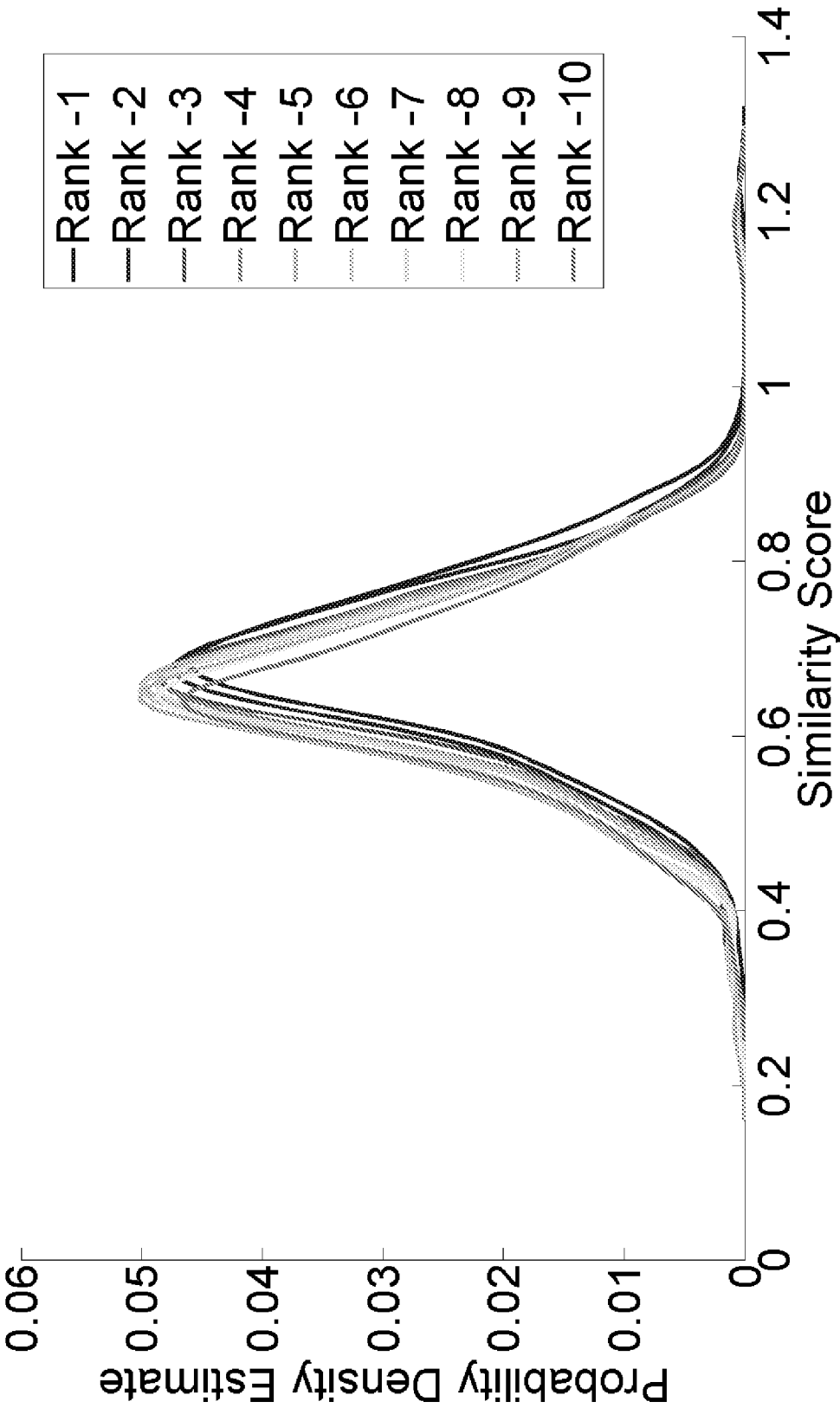
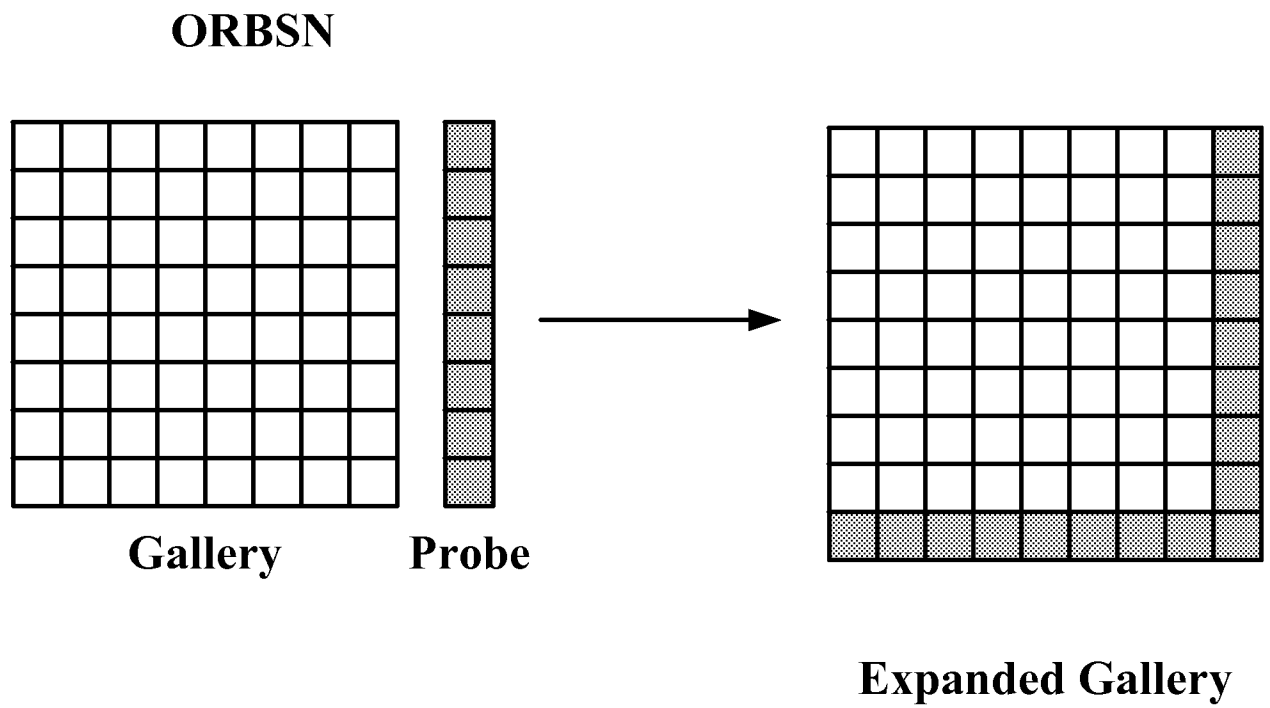


FIG. 12

**FIG. 13**

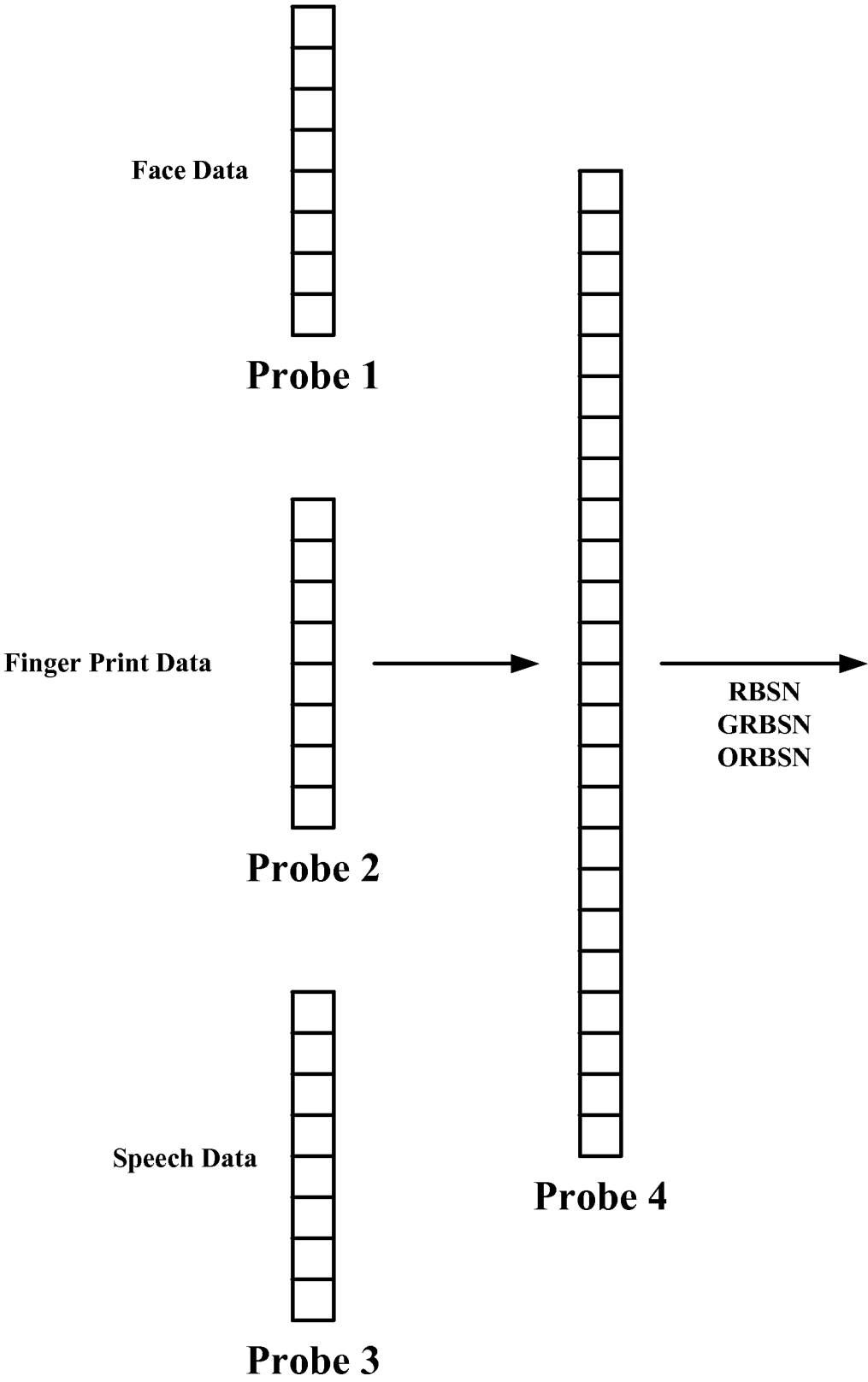


FIG. 14

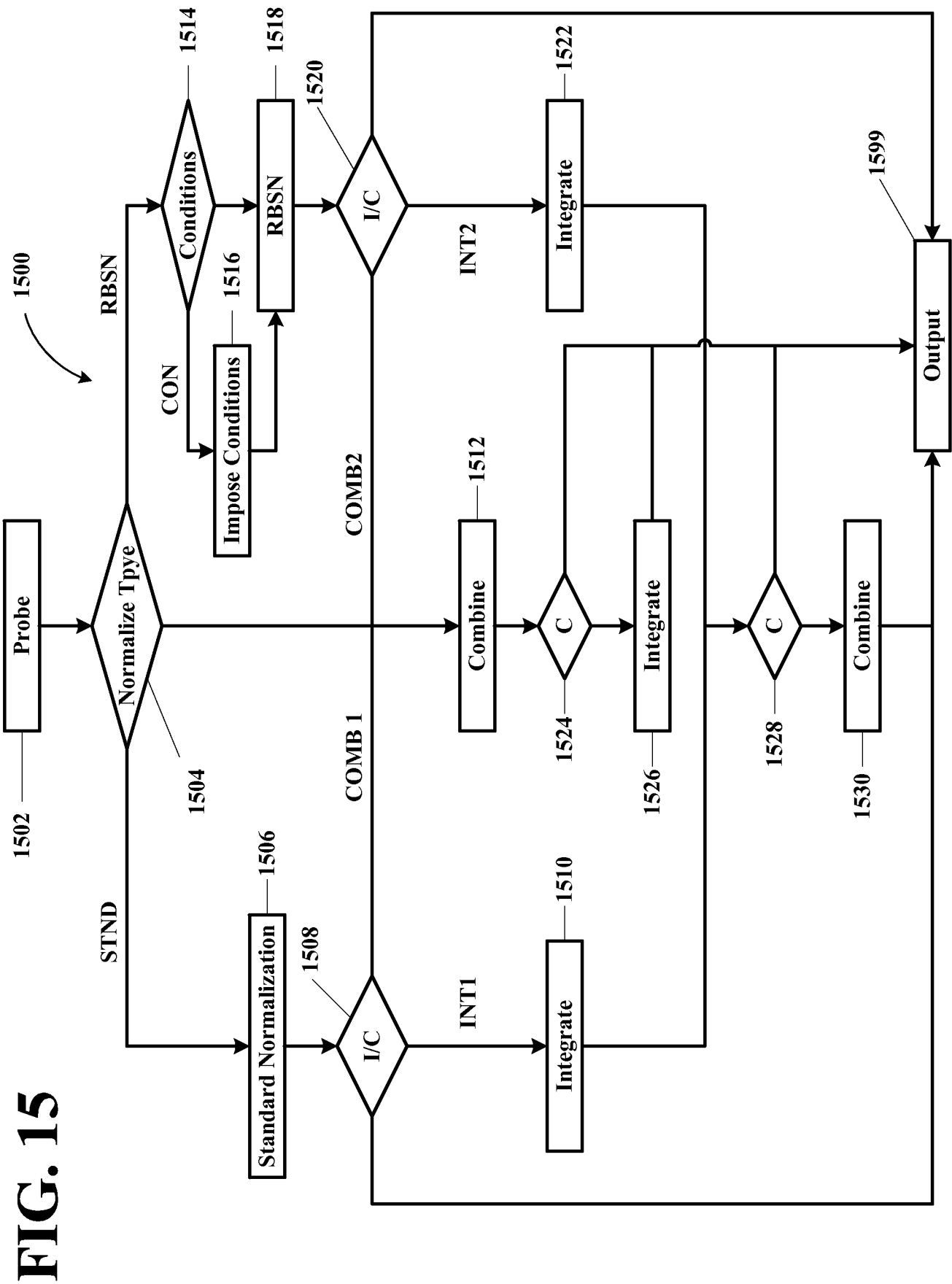
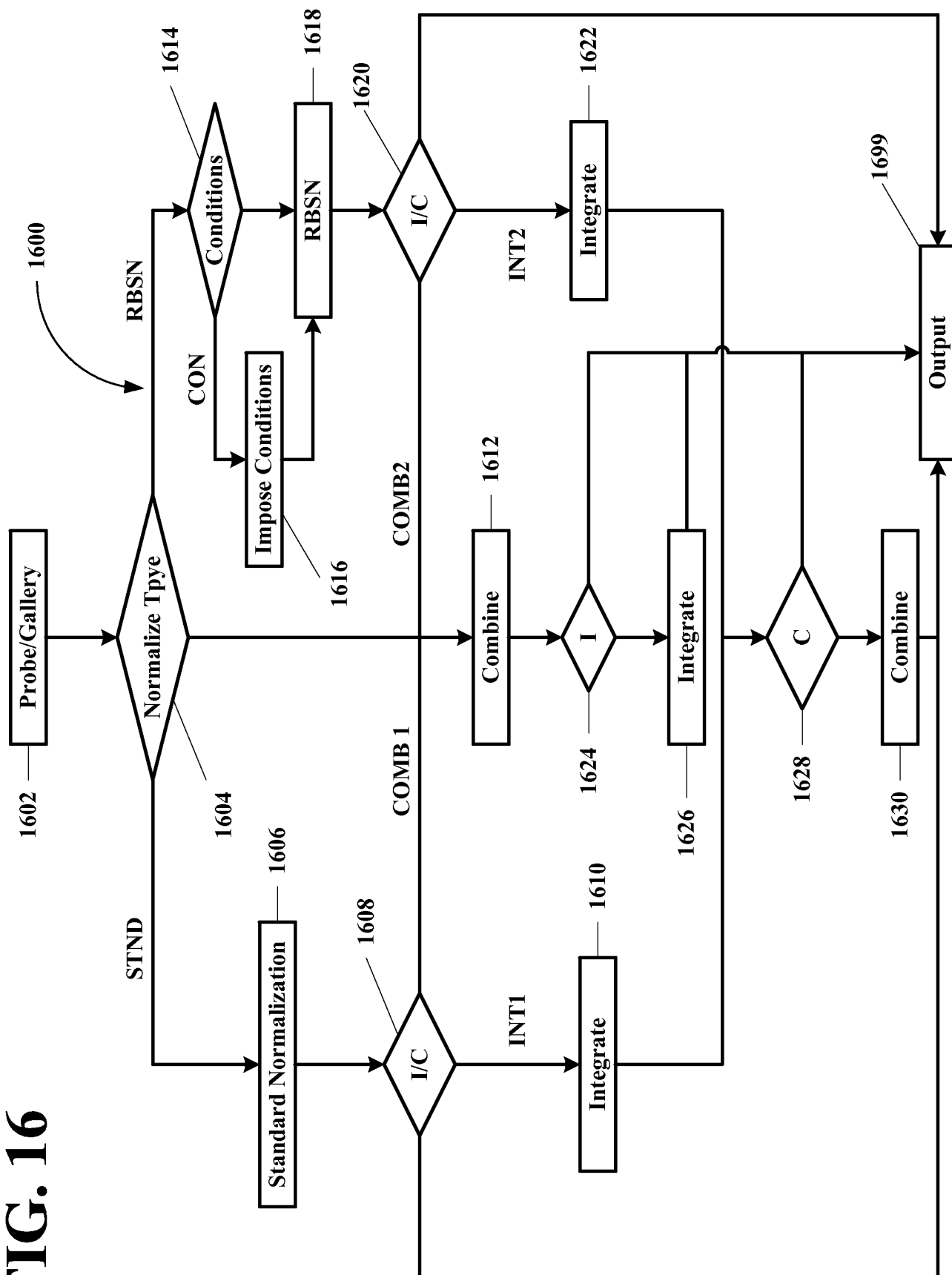
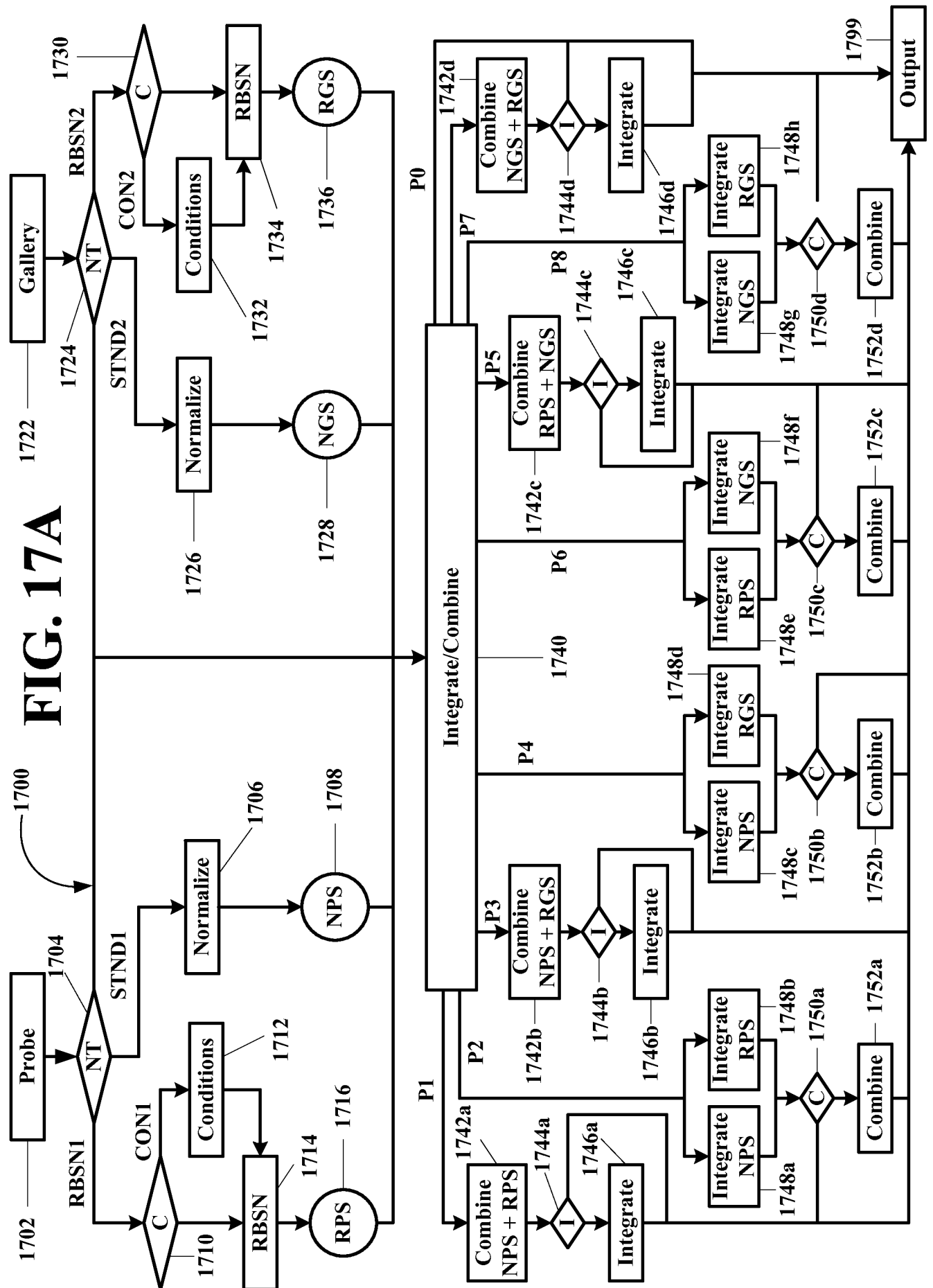
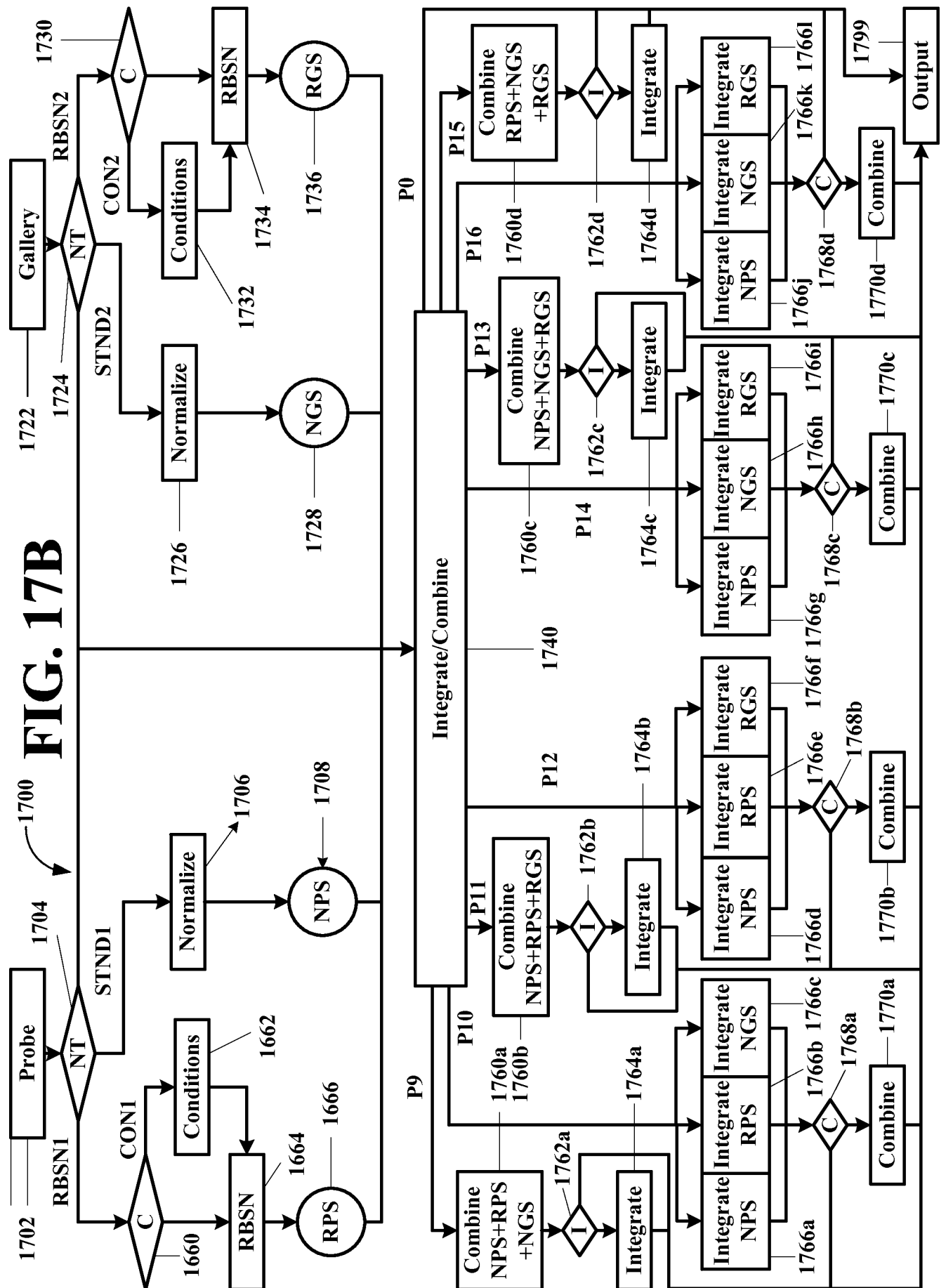
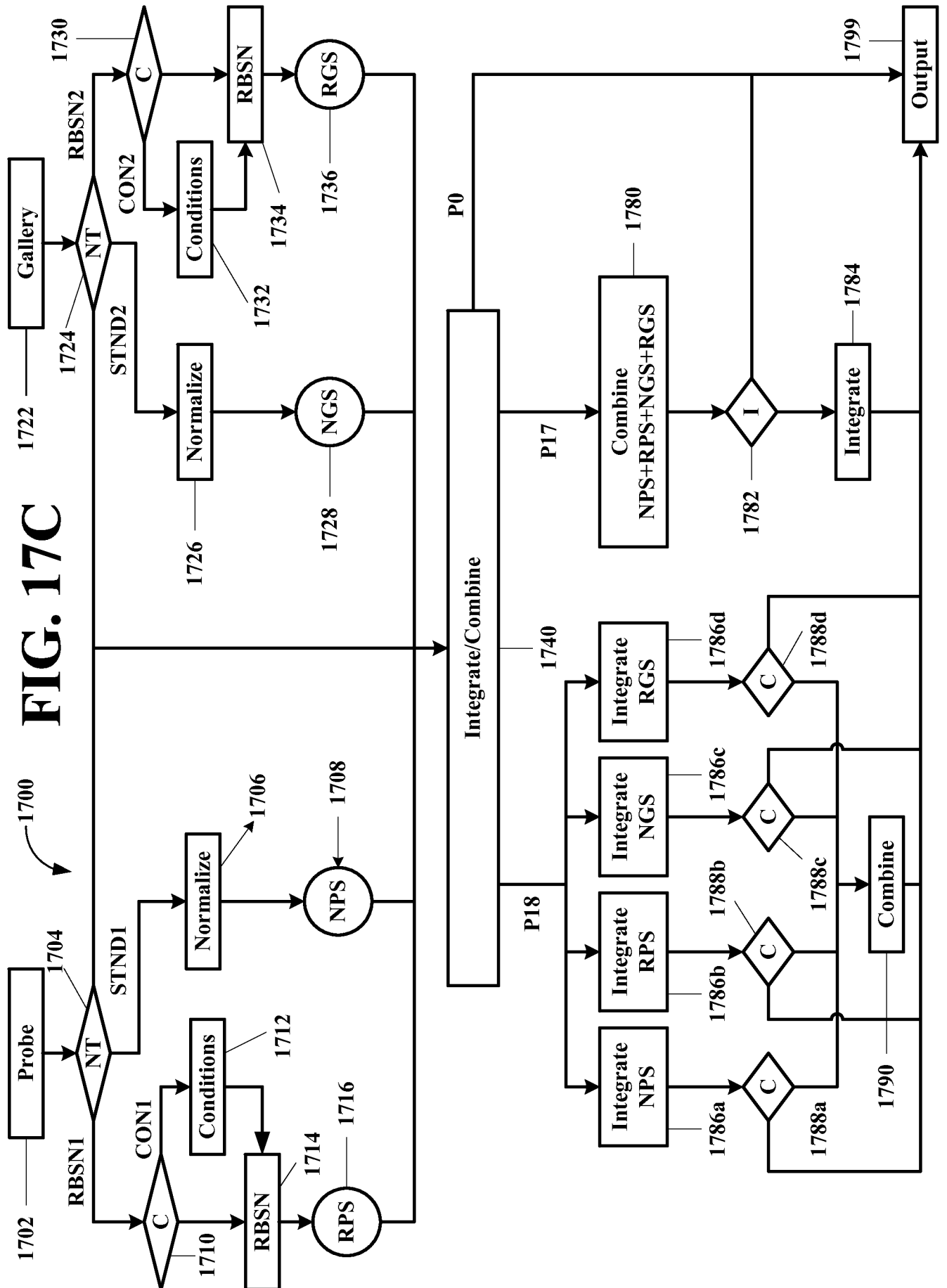


FIG. 16









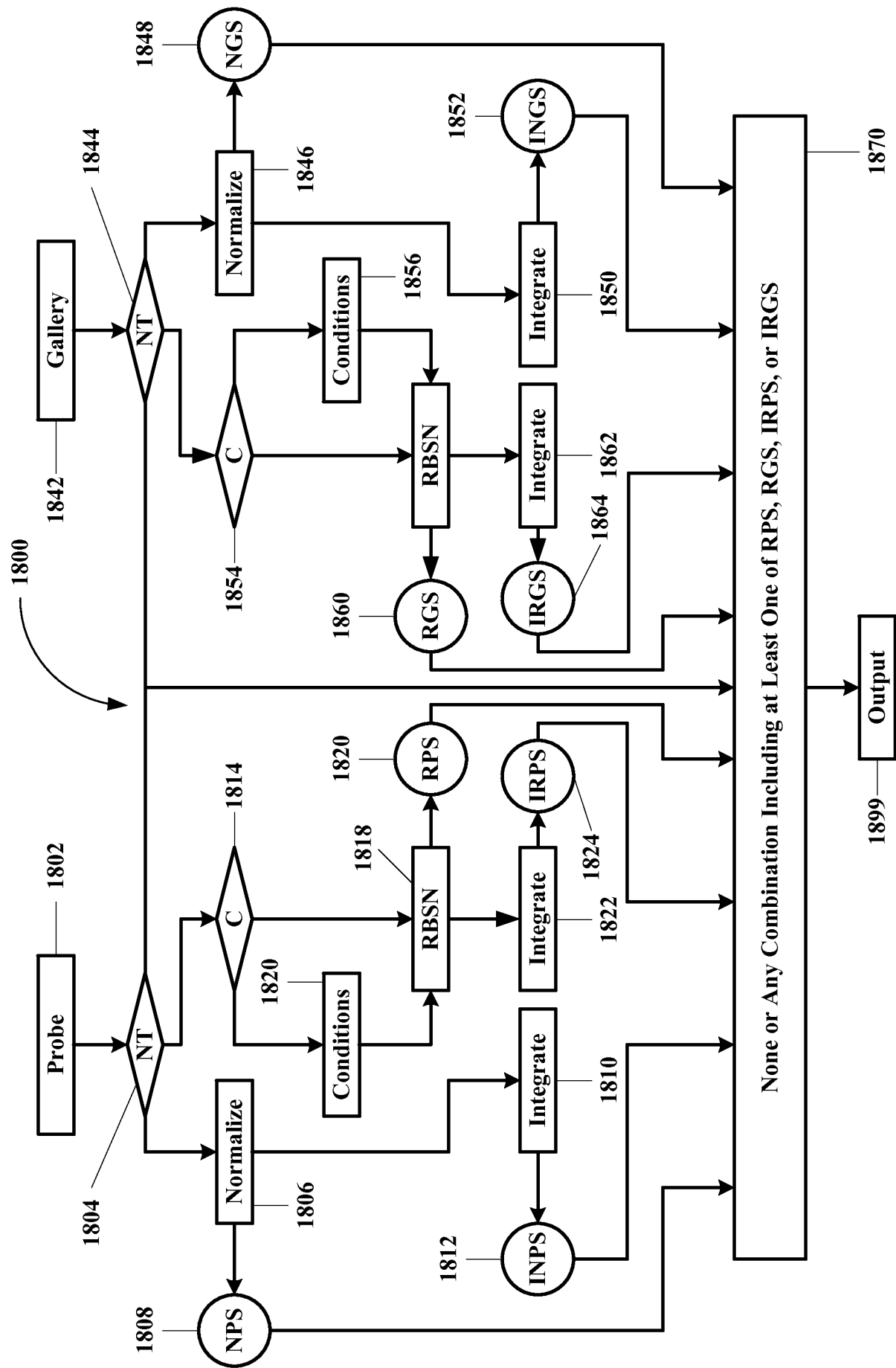


FIG. 18

INTERNATIONAL SEARCH REPORT

International application No.
PCT/US2014/030505**A. CLASSIFICATION OF SUBJECT MATTER****G06F 17/00(2006.01)i**

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

G06F 17/00; G06F 17/30

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Korean utility models and applications for utility models

Japanese utility models and applications for utility models

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

eKOMPASS(KIPO internal) & Keywords: biometric, probe, gallery, sample, indexed, scores, subset, rank, normalization, and similar terms.

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	US 2010-0312763 A1 (PEIRCE, MICHAEL) 09 December 2010 See paragraphs [0012], [0014], and [0038]-[0041]; and figures 1-2.	15
A		1-14, 16-29
A	ABAZA, AYMAN et al., "Quality based rank-level fusion in multibiometric systems," In: 3rd IEEE International Conference on Biometrics: Theory, Applications, and Systems (BTAS'09), pp 1-6, September 2009 See abstract and section II.	1-29
A	JAIN, ANIL et al., "Score normalization in multimodal biometric systems," Pattern Recognition, Vol. 38, No. 12, pp. 2270-2285, 2005 See section 3.	1-29
A	US 2012-0078886 A1 (DINERSTEIN, JONATHAN J. et al.) 29 March 2012 See paragraphs [0037]-[0038] and figure 7.	1-29
A	US 2012-0215771 A1 (STEINER, MATTHEW S.) 23 August 2012 See paragraphs [0053]-[0055] and figure 2.	1-29



Further documents are listed in the continuation of Box C.



See patent family annex.

* Special categories of cited documents:

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"O" document referring to an oral disclosure, use, exhibition or other means

"P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art

"&" document member of the same patent family

Date of the actual completion of the international search

29 August 2014 (29.08.2014)

Date of mailing of the international search report

29 August 2014 (29.08.2014)

Name and mailing address of the ISA/KR

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INTERNATIONAL SEARCH REPORT

Information on patent family members

International application No.

PCT/US2014/030505

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
US 2010-0312763 A1	09/12/2010	AT 470913 T AU 2008-261153 A1 AU 2008-261153 B2 DE 602008001489 D1 EP 2073147 A1 EP 2073147 B1 US 8031981 B2	15/06/2010 09/07/2009 13/12/2012 22/07/2010 24/06/2009 09/06/2010 04/10/2011
US 2012-0078886 A1	29/03/2012	US 8316028 B2	20/11/2012
US 2012-0215771 A1	23/08/2012	EP 2676236 A2 JP 2014-506701 A US 8606776 B2 WO 2012-112780 A2 WO 2012-112780 A3	25/12/2013 17/03/2014 10/12/2013 23/08/2012 21/03/2013